

Section 6. Payment Schedule

The selected firm will be paid based on submission of deliverables as below

Output	Contract Amount (%)
1. Acceptance of the revised work plan and mobilization	5%
2. Acceptance of deliverables of analysis and design phases as outlined in IS 1.03	10%
3. Acceptance of deliverables of build/construction phase as outlined in IS 2.03	20%
4. Acceptance of deliverables of training and testing phases as outlined in IS 3.03 and 4.03	20%
5. Acceptance of deliverables of go-live phase as outlined in IS 5.04 and 5.07	20%
6. Final acceptance including a six-month run during the warranty period	25%

Payment Details

The Bidder will be responsible for any correspondent bank fees associated with transfers. The payment will be sent by IDG (US based) with funding provided by USAID, within thirty days of receipt of a valid invoice.

Section 7. Contractual Requirements

1. Period of Performance

The period of performance is July 2020 through July 2021.

2. Place of Performance

The place of performance is Moldova and the successful bidder's headquarters location.

3. Insurance and Services

Pursuant to AIDAR 752.228-3 Worker's Compensation Insurance (Defense Base Act), to obtain DBA insurance, contractors, and subcontractors must apply for coverage directly from AON Risk Insurance Services (AON), the agent for Allied World Assurance Company (AWAC).

Contractors must apply for coverage directly to AON Risk Insurance Services Inc., the agent for AWAC DBA Insurance. For instructions on the required application form and submission requirements, contact the following office:

AON Risk Insurance Services West, Inc.
2033 N. Main St., Suite 760
Walnut Creek, CA 94596-3722
Hours: 8:30 A.M. to 5:00 PM, Pacific Time
Primary Contact: Fred Robinson
Phone: (925) 951-1856 Fax: (925) 951-1890
Email: Fred.Robinson@aon.com

- a) In compliance with new Agency guidelines, Contractors will be required to submit a copy of DBA coverage for which contract performance is to occur outside of the U.S. This document must be provided prior to start of performance overseas.
- b) New Rates: There are three different rates depending on the nature of the services to be provided. If a contract contains more than one of the services listed, the premium will be distributed proportionally.

Period of Performance	Services	
Base Period	12/1/15 – 11/30/17	2.00
Option 1	12/1/17 – 11/30/18	2.00
Option 2	12/1/18 – 11/30/19	2.00
Option 3	12/1/19 – 11/30/20	2.00

The selected Bidder shall purchase and maintain throughout the course of the work and period of performance of this project, such insurance as will protect the selected Bidder, USAID, NBM, and IDG from the following claims which may arise out of or result from its operations hereunder (whether by itself, any subcontractors, anyone directly or indirectly employed by any of them, or anyone for whose acts any of them may be liable): claims under workmen's compensation, disability benefit and other similar employee benefit acts; claims for damages because of bodily

injury, occupational sickness or disease, or death, of its employees or any other person; claims which are sustained by any person as a result of the actions of the selected Bidder or by any other person; and claims for damages because of injury to or destruction of tangible property, including loss of use resulting there from. The selected Bidder will provide IDG with satisfactory evidence of compliance with this requirement.

The following are the required types of coverage and minimum amounts for each:

- Commercial General Liability. Throughout the period when work is performed and until final acceptance by IDG and NBM, the selected Bidder shall carry and maintain and ensure that all subcontracts carry and maintain, Commercial General Liability insurance with available limits of not less than the total value of the project. Such insurance shall contain coverage for all premises and operations, broad form property damage, and contractual liability. Such insurance shall not be maintained on a per project basis unless the respective selective Bidder does not maintain blanket coverage.
- Workers' Compensation. The selected Bidder shall, throughout the period when work is performed and until final acceptance by IDG, carry and maintain, and ensure that all subcontractors carry and maintain, insurance in accordance with the applicable laws relating to Workers' Compensation covering all of their respective employees.

4. Logistics Support

The selected Bidder will be responsible for furnishing all logistics support

5. Executive Order on Terrorism Financing

The Contractor is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. A list of these names can be found at the web site of the Office of Foreign Assets Control (OFAC) with the Department of Treasury. That web site is <http://treasury.gov/ofac>. It is the responsibility of the contractor to ensure compliance with these Executive Orders and laws.

This provision must be included in all subcontracts/subawards issued under this contract.

6. Environmental Compliance

1) a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Bidder environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFP.

b) In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

c) No activity funded under this contract will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

2) An Initial Environmental Examination (IEE) DCN: 2015-MOL-001 (See Attachment J.1) has been approved for Moldova Financial Sector Transparency Activity (FSTA) funding this RFP. The IEE covers activities expected to be implemented under this contract. USAID has determined that a Categorical Exclusion applies to activity. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Bidder shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the contractor, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this contract to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the contractor plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

3) When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the contractor shall:

Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the contractor shall prepare an EMMP or M&M Plan describing how the contractor will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

Integrate a completed EMMP or M&M Plan into the initial work plan.

Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment. USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise.

7. USAID-Financed Third-Party Web Sites

- a) Definitions: “Third-party web sites”
Sites hosted on environments external to USAID boundaries and not directly controlled by USAID policies and staff, except through the terms and conditions of a contract. Third-party Web sites include project sites.
- b) The contractor must adhere to the following requirements when developing, launching, and maintaining a third-party Web site funded by USAID for the purpose of meeting the project implementation goals:
 - (1) Working through the COR, the contractor must notify the USAID Bureau for Legislative and Public Affairs/Public Information, Production and Online Services (LPA/PIPOS) of the Web site URL as far in advance of the site's launch as possible.
 - (2) The contractor must comply with Agency branding and marking requirements comprised of the USAID logo and brandmark with the tagline “from the American people,” located on the USAID Web site at www.usaid.gov/branding, and USAID Graphics Standards manual at <http://www.usaid.gov>.
 - (3) The Web site must be marked on the index page of the site and every major entry point to the Web site with a disclaimer that states: "The information provided on this Web site is not official U.S. Government information and does not represent the views or positions of the U.S. Agency for International Development or the U.S. Government."
 - (4) The Web site must provide persons with disabilities access to information that is comparable to the access available to others. As such, all site content must be compliant with the requirements of the Section 508 amendments to the Rehabilitation Act.
 - (5) The contractor must identify and provide to the COR, in writing, the contact information for the information security point of contact. The contractor is responsible for updating the contact information whenever there is a change in personnel assigned to this role.
 - (6) The contractor must provide adequate protection from unauthorized access, alteration, disclosure, or misuse of information processed, stored, or transmitted on the Web sites. To minimize security risks and ensure the integrity and availability of information, the contractor must use sound: system/software management; engineering and development; and secure coding practices consistent with USAID standards and information security best practices. Rigorous security safeguards,

including but not limited to, virus protection; network intrusion detection and prevention programs; and vulnerability management systems must be implemented and critical security issues must be resolved as quickly as possible or within 30 days. Contact the USAID Chief Information Security Officer (CISO) at ISSO@usaid.gov for specific standards and guidance.

(7) The contractor must conduct periodic vulnerability scans, mitigate all security risks identified during such scans, and report subsequent remediation actions to CISO at ISSO@usaid.gov and COR within 30 workdays from the date vulnerabilities are identified. The report must include disclosure of the tools used to conduct the scans. Alternatively, the contractor may authorize USAID CISO at ISSO@usaid.gov to conduct periodic vulnerability scans via its Web-scanning program. The sole purpose of USAID scanning will be to minimize security risks. The contractor will be responsible for taking the necessary remediation action and reporting to USAID as specified above.

- c) For general information, agency graphics, metadata, privacy policy, and 508 compliance requirements, refer to <http://www.usaid.gov>

8. Government Furnished Facilities Or Property

- a) The Contractor and any employee or consultant of the Contractor is prohibited from using U.S. Government facilities (such as office space or equipment) or U.S. Government clerical or technical personnel in the performance of the services specified in the Contract unless the use of Government facilities or personnel is specifically authorized in the Contract or is authorized in advance, in writing, by the CO.
- b) If at any time it is determined that the Contractor, or any of its employees or consultants, have used U.S. Government facilities or personnel either in performance of the Contract itself, or in advance, without authorization in writing, by the Contracting Officer, then the amount payable under the Contract will be reduced by an amount equal to the value of the U.S. Government facilities or personnel used by the Contractor, as determined by the Contracting officer.
- c) If the parties fail to agree on an adjustment made pursuant to this clause it will be considered a "dispute" and will be dealt with under the terms of the "Disputes" clauses of the Contract.

9. Limitation On Acquisition of Information Technology (Deviation Nos. M/Oaa-Dev-Far-18-2c And M/Oaa-Dev-Aidar-18-2c) (April 2018)

- (a) Definitions. As used in this contract -- "Information Technology" means:

(1) Any services or equipment, or interconnected system(s) or subsystem(s) of equipment, that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency; where

(2) such services or equipment are ' used by an agency' if used by the agency directly or if used by a contractor under a contract with the agency that requires either use of the services or equipment or requires use of the services or equipment to a significant extent in the performance of a service or the furnishing of a product.

(3) The term "information technology" includes computers, ancillary equipment (including imaging peripherals, input, output, and storage devices necessary for security and surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including provisioned services such as cloud computing and support services that support any point of the lifecycle of the equipment or service), and related resources.

(4) The term "information technology" does not include any equipment that is acquired by a contractor incidental to a contract that does not require use of the equipment.

(b) The Federal Information Technology Acquisition Reform Act (FITARA) requires Agency Chief Information Officer (CIO) review and approval of contracts that include information technology or information technology services.

(c) The Contractor must not acquire information technology as defined in this clause without the prior written approval by the contracting officer as specified in this clause.

(d) Request for Approval Requirements:

(1) If the Contractor determines that any information technology will be necessary to meet the Government's requirements or to facilitate activities in the Government's statement of work, the Contractor must request prior written approval from the Contracting Officer.

(2) As part of the request, the Contractor must provide the Contracting Officer a description and an estimate of the total cost of the information technology equipment, software, or services to be procured under this contract. The Contractor must simultaneously notify the Contracting Officer's Representative (COR) and the Office of the Chief Information Office at ITAuthorization@usaid.gov.

(e) The Contracting Officer will provide written approval to the Contractor through modification to the contract expressly specifying the information technology equipment, software, or services approved for purchase by the COR and the Agency CIO. The Contracting Officer will include the applicable clauses and special contract requirements in the modification.

(f) Except as specified in the contracting officer's written approval, the Government is not obligated to reimburse the Contractor for any costs incurred for information technology as defined in this clause.

(g) The Contractor must insert the substance of this clause, including this paragraph (g), in all subcontracts.

10. Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment (Aug 2019)

(a) *Definitions.* As used in this clause—

“Covered foreign country” means The People’s Republic of China.

“Covered telecommunications equipment or services” means—

- a. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);
- b. For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
- c. Telecommunications or video surveillance services provided by such entities or using such equipment; or
- d. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

“Critical technology” means—

- (1) Defense articles or defense services included on the United States Munitions List set forth in the International Traffic in Arms Regulations under subchapter M of chapter I of title 22, Code of Federal Regulations;
- (2) Items included on the Commerce Control List set forth in Supplement No. 1 to part 774 of the Export Administration Regulations under subchapter C of chapter VII of title 15, Code of Federal Regulations, and controlled-
 - i. Pursuant to multilateral regimes, including for reasons relating to national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology; or
 - ii. For reasons relating to regional stability or surreptitious listening;
- (3) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology covered by part 810 of title 10, Code of Federal Regulations (relating to assistance to foreign atomic energy activities);
- (4) Nuclear facilities, equipment, and material covered by part 110 of title 10, Code of Federal Regulations (relating to export and import of nuclear equipment and material);
- (5) Select agents and toxins covered by part 331 of title 7, Code of Federal Regulations, part 121 of title 9 of such Code, or part 73 of title 42 of such Code; or
- (6) Emerging and foundational technologies controlled pursuant to section 1758 of the Export Control Reform Act of 2018 (50 U.S.C. 4817).

“Substantial or essential component” means any component necessary for the proper function or performance of a piece of equipment, system, or service.

(b) *Prohibition.* Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. The Contractor is prohibited from providing to the Government any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in Federal Acquisition Regulation [4.2104](#).

(c) *Exceptions.* This clause does not prohibit contractors from providing—

(1) A service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(2) Telecommunications equipment that cannot route or redirect user data traffic or permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(d) Reporting requirement.

(1) In the event the Contractor identifies covered telecommunications equipment or services used as a substantial or essential component of any system, or as critical technology as part of any system, during contract performance, or the Contractor is notified of such by a subcontractor at any tier or by any other source, the Contractor shall report the information in paragraph (d)(2) of this clause to the Contracting Officer, unless elsewhere in this contract are established procedures for reporting the information; in the case of the Department of Defense, the Contractor shall report to the website at <https://dibnet.dod.mil>. For indefinite delivery contracts, the Contractor shall report to the Contracting Officer for the indefinite delivery contract and the Contracting Officer(s) for any affected order or, in the case of the Department of Defense, identify both the indefinite delivery contract and any affected orders in the report provided at <https://dibnet.dod.mil>.

(2) The Contractor shall report the following information pursuant to paragraph (d)(1) of this clause

(i) Within one business day from the date of such identification or notification: the contract number; the order number(s), if applicable; supplier name; supplier unique entity identifier (if known); supplier Commercial and Government Entity (CAGE) code (if known); brand; model number (original equipment manufacturer number, manufacturer part number, or wholesaler number); item description; and any readily available information about mitigation actions undertaken or recommended.

(ii) Within 10 business days of submitting the information in paragraph (d)(2)(i) of this clause: any further available information about mitigation actions undertaken or recommended. In addition, the Contractor shall describe the efforts it undertook to prevent use or submission of covered telecommunications equipment or services, and any additional efforts that will be incorporated to prevent future use or submission of covered telecommunications equipment or services.

(e) *Subcontracts*. The Contractor shall insert the substance of this clause, including this paragraph (e), in all subcontracts and other contractual instruments, including subcontracts for the acquisition of commercial items.

Section 8. Proposal Instructions

1. Introduction

- 1.1. IDG will select an organization through a full and open competition. The Bidders are invited to submit a Technical Proposal and a Financial Proposal, as specified in Section 1 and Section 8. The Proposal will be the basis for contract negotiations and ultimately for a signed Contract with the selected Bidder.
- 1.2. Bidders bear all costs associated with the preparation and submission of their Proposals and contract negotiation. IDG is not bound to accept any Proposal and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Bidders.
- 1.3. Proposal Preparation Costs: IDG will not pay for any proposal preparation costs.

2. Questions and Clarifications

- 2.1. For further information, please contact procurement@internationaldevelopmentgroup.com. All questions must be submitted in writing no later than 5:00 PM EST on May 21, 2020. IDG will provide responses to the questions or comments received. These submissions must be made by email only to procurement@internationaldevelopmentgroup.com. In the subject line reference: **Questions – NBM Software Solution**.
- 2.2. IDG will send written responses by email to all questions and comments received (without identifying the source of inquiry) to all Bidders. Should IDG deem it necessary to amend the RFP as a result of a clarification, it will do so. At any time before the submission of Proposals, IDG may amend the RFP by issuing an addendum that will be published on the IDG website (<https://www.internationaldevelopmentgroup.com/procurement>) or shared by standard electronic means. All Bidders should check the IDG website periodically for any amendments. If the addendum is received by electronic means, Bidders should acknowledge receipt of all amendments. To give Bidders reasonable time in which to take an amendment into account in their proposals IDG may, if the amendment is substantial, extend the deadline for the submission of proposals.

3. Proposal Due Date

- 3.1. Proposals should be submitted in electronic format to procurement@internationaldevelopmentgroup.com no later than 5:00 PM EDT on June 18, 2020. The subject line of the email should reference: **RFP – NBM Software Solution**.
- 3.2. The Proposals must be submitted only to the email address indicated and received by IDG no later than the time and the date indicated above, or any formal extension notified in writing to this date. Any proposal received by IDG after the deadline for submission will be disqualified and an email will be sent to the Bidder with a clarification indicating the reason for disqualification.

4. Proposal Validity

- 4.1. Bidders' proposals must remain valid for 120 days after the submission date. During this period, Bidders should maintain the availability of professional staff nominated in the proposal. IDG will make its best effort to complete negotiations within this period. Should the need arise, however, IDG may request Bidders to extend the validity period of their proposals. Bidders who agree to such extension should certify that they maintain the availability of the professional staff nominated in the proposal, or in their confirmation of extension of validity of the proposal, Bidders could submit new staff in replacement, who would be considered in the final evaluation for contract award. Bidders who do not agree have the right to refuse to extend the validity of their Proposals.

5. Authorized Geographic Code

- 5.1. The authorized geographic codes for procurement of goods and services is 110 and 937. The geographic code follows the USAID established geographic codes used by USAID in procurements. Code 937 and 101 is defined as the United States, the independent states of the former Soviet Union, or a developing country⁵, but excluding any country that is a prohibited source and the United States, the Cooperating Country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. For accurate identification of developing countries, advanced developing countries⁶, and prohibited sources, please refer to Automated Directives System (ADS) Chapter 310 entitled "Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID." The link to ADS 310 can be found [here](#). In short, these rules mean that services can be procured without a waiver for companies based in the United States, Moldova, other qualified former Soviet countries, and developing countries, but not, for instance, from companies based in Canada or EU countries unless a waiver is granted by USAID.
- 5.2. If the Bidder is from a location outside of the authorized geographic codes, a USAID waiver would be needed, requiring a compelling justification for the best technical and commercial value to the U.S. Government. Please note that the waivers are subject to USAID approval.

6. Proposal Submission Instructions

- 6.1. In preparing their Proposal, Bidders are expected to examine in detail the documents comprising the RFP. Material deficiencies in providing the information requested may result in rejection of a Proposal.
- 6.2. Both Technical and Financial Proposals must be signed by an authorized representative of the Bidder.
- 6.3. Each Bidder's Proposal should be prepared in two separate electronic volumes. The following list should be used as a checklist for the Technical and Financial Proposals.

⁵ Developing country: any country categorized by the World Bank as a low or lower middle-income country according to its gross national income per capita.

⁶ Advanced developing country: any country categorized by the World Bank as an upper middle-income country according to its gross national income per capita

Volume 1 – Technical Proposal

1. Technical Proposal Submission Letter
2. Organization Description
3. Past Performance Information
4. Executive Summary
5. Description of Solution’s Technical Approach and Methodology
6. Comments on the RFP
7. Work Plan
8. Response(s) to Functional Requirements
9. Response(s) to Non-Functional Requirements
10. Response(s) to Implementation Services Requirements
11. Response(s) to Project Management Requirements
12. Response(s) to Post-Implementation Requirements
13. Staffing Plan and Level of Effort
14. Professional Staff CVs
15. Professional Staff Letters of Commitment
16. Risk Management Plan

Volume 2 – Financial Proposal

1. Financial Proposal Submission Letter
2. Budget Narrative
3. Cost Proposal
4. Total Cost of Ownership
5. Evidence of Responsibility

7. Format and Language

- 7.1. Technical Proposals must be submitted in either PDF or Microsoft Word. Where the templates provided for the Financial Proposal are in Excel, this must also be submitted in Excel, with clear quantities and unit costs. The other required documents that are part of the Financial Proposal must be submitted in either PDF or Microsoft Word. A page is considered to be a one sided, 8.5” x 11” size with 1-inch margins. All text should be Times New Roman font, in no smaller than 12-point for text and 10-point for spreadsheets and tables, and any font size for graphics as long as they are legible. Each page should be numbered consecutively.
- 7.2. Technical and Financial Proposals shall be submitted in English only.

8. Technical Proposal Instructions

- 8.1. Bidders are required to submit a full Technical Proposal. The Technical Proposal should provide the information indicated in Section 10, using the appropriate attachments where templates are provided.
- 8.2. A detailed description on selected items from the full Technical Proposal is included below:

Description of Solution's Technical Approach and Methodology. It is required that the Bidder explains the way in which it will consider the objectives of the mission, the design of the services, methodology to carry out the activities and to obtain the outputs and its details. The Bidder has to highlight the problems to be solved and their importance and explain the technical design which it will adopt with this intention. Moreover, the Bidder has to explain the methodology which it is intending to adopt and its compatibility with the suggested design.

Given the priorities and objectives discussed in this RFP, the Bidder should present their methodology based on the following basic principles to be applied throughout the project:

- a. *Orientation to Objectives:* the implementation team, the tasks and the implementation services and deliverables to be performed under this tender, should demonstrate a consistent orientation towards the achievement of primary objectives of the project and achievement of specific objectives of the project, stated above. Within the technical proposal, the Bidder should prove on all possible dimensions that the actions planned under the tender will ensure the successful achievement of the primary objective and specific objectives.
- b. *Commitment and Responsibility:* the Bidder should assume full commitment and responsibility for the success of the project, up to his obligations.
- c. *Professionalism and competence:* the Bidder should prove a high level of professionalism, competence and experience in the field. In order to support the required level of professionalism and competence in accordance with the requirements, the Bidder should have permanent allocation capacity within the project of highly qualified specialists, as required, and if necessary, to attract specialists from different fields to cover any skills needed in achieving their objectives.
- d. *Quality:* the term quality should be treated at its absolute value and responsibility. In this context, the Bidder will follow within the technical proposal to express upon their vision on the quality of each deliverable in part, as well as on implementation process as a whole.
- e. *Know-how:* the Bidder should prove sufficient know-how to ensure successful achievement of objectives. Thus, the technical proposal should include detailed descriptions of the principle approach in this project, to be described all the methodologies, techniques and tools used in performing the tasks set. The Bidder should as well take into account and explain how should ensure the transfer of one part of this necessary know-how to the Beneficiary to understand and implement the set objectives.
- f. *Efficiency and Effectiveness:* the Bidder should demonstrate a high level of efficiency and effectiveness of implementation services which is to provide. Within the technical proposal, the Bidder should submit the details of his vision related to the proving of the level of efficiency and effectiveness of rendered services, which will also refer to clearly established quantitative and qualitative indicators.
- g. *Flexibility:* given the complex nature of the project, the Bidder should explain the degree of flexibility in allocating additional resources if necessary, which it can possibly take in an eventual contract.

Organization Description. A brief description of the Bidders' organization and an outline of recent experience of the Bidders. Provide here a brief description of your company background and organization. In the case of a Teaming Agreement, please provide a synopsis of the Prime Contractor and Subcontractors that are participating in your Bid.

Past Performance Information. Bidders should provide relevant information on past performance examples from a maximum of three (3) relevant assignments implemented in the past five (5) years. The prime Bidder should also include one (1) relevant assignment for each proposed subcontractor (if any subcontractors are proposed). For each assignment, the outline should indicate the names of subcontractors/ Professional staff who participated, duration of the assignment, contract amount, and Bidder's involvement. Information should be provided only for those assignments for which the Bidder was legally contracted as a corporation or as one of the major Bidders within a joint venture. Assignments completed by individual Professional staff working privately or through other consulting Bidders cannot be claimed as the experience of the Bidder, or that of the Bidder's associates, but can be claimed by the Professional staff themselves in their CVs. Bidders should be prepared to substantiate the claimed experience if so requested by IDG.

Comments on the RFP. Comments and suggestions on the RFP including workable suggestions that could improve the quality effectiveness of the assignment; and on requirements for counterpart staff and facilities including administrative support, office space, local transportation, equipment, data etc. to be provided by the Bidder. Present and justify here any modifications or improvement to the RFP the Bidder is proposing to improve performance in carrying out the assignment (such as deleting some activity/activities the Bidder considers unnecessary, or adding another, or proposing a different phasing of the activities).

Work plan. In this section, the Bidder will propose the principal activities which includes the mission, their nature and duration, spreading out and interrelationships, the benchmarks (including intermediate approvals required from IDG/NBM) and the dates of presentation of the reports work plan suggested must be compatible with the technical design and methodology. The work plan should include at least the following components:

- a. The initial Work Plan should cover major phases and work packages, major activities, start and end date, duration, milestones, including responsibilities, interdependences, external dependencies; and the critical path.
- b. In case the Bidder will subcontract the activities to obtain some deliverables, it should present the Work Packages associated with these activities. The structure of a Work Package should comprise: date, responsible person, description of the work package, quality control methods to be used, level of resources that will be allocated, start and end date, constraints, method of reporting. The work packages should be signed by both the subcontractor and the Bidder.
- c. The Work Plan will clearly reflect the total planned time for software deployment.
- d. The working hypotheses, which are the basis of the initial plan, should be presented.
- e. The Bidder should present the tolerances for the overall Work Plan and for each of the major phases. The Bidder should present the method by which the Project Manager will ensure the tolerance control at each stage and the procedure that will

be applied when these tolerances are exceeded. For this project, the cost tolerances are not permitted, the project budget being fixed.

- f. A Gantt diagram is required for the Work Plan. During the project, the Project Manager should use a dedicated project management software/ instrument, which should be indicated in the proposal.
- g. During the contract execution, detailed Work Plans should all be developed for each of the phases/stages.
- h. The Work Plan will also include revision and coordination of deliverables by the parties (Bidder and Beneficiary) with the allocation of the necessary time. The Beneficiary review / coordination of deliverables will be granted 3-5 business days per iteration. The review / coordination of the deliverable can take place through several iterations. The Bidder will consider this term in the execution of the Work Plan.

Initial Management Plan. This section must be included as part of the “Response to Project Management Requirements” (Attachment 6), meet the listed requirements described in the attachment, and must describe the management structure for the implementation of proposed activities and explain how it will implement activities proposed. In this chapter, you must define your approach to project management.

Staffing Plan. The staffing plan should provide a list of the proposed key Professional staff team by area of expertise, the position that would be assigned to each staff team member, and their tasks. Section 10 provides a template as well as the minimum requirements relating to the minimum key experts that need to be included in the proposal for implementing the Software Solution. The Bidder should demonstrate it can provide to the Beneficiary a minimum number of key experts as follows:

1. Key expert no. 1 – Project manager
2. Key expert no. 2 – Business analyst/ Business consultant
3. Key expert no. 3 – Technical expert/ Solution architect
4. Key expert no. 4 – Data Analyst/ Data warehouse expert
5. Key expert no. 5 – Test/quality assurance responsible

If the Bidder considers necessary, it can decide to add additional resources, according to its own professional judgment, methods, implementation standards, etc. For each of these roles mentioned above one or more persons can be allocated. A person can also cumulate roles, if he/ she meets the criteria for all the envisaged roles and if the workload on the project allows. The quality assurance role has to be specifically allocated to a team member.

As part of the Staffing Plan please provide estimates of the staff input, level of effort (LOE) in days needed to carry out the assignment. The staff LOE should be indicated separately for home office and field activities, and for foreign and Moldovan Professional staff.

Curriculum Vitae. All proposed professional staff must be presented in the CV format provided. CVs are limited to 3 pages each and must follow the format requirements included in Section 10.

Letters of Commitment. The Bidder must present signed letters of commitment for all key Professional personnel, specifying their name, role, and confirming availability to serve in the specified role should the Bidder be successful.

Risk Management Plan. This project imposes potential exposure to a range of risks that need to be addressed appropriately by developing a sound strategy and an effective risk mitigation plan. This should include at least the following sections:

- a. The risk management plan should describe the risk management processes, risk management strategies, risk management responsibilities and specific procedures for risk identification, reporting, escalation etc.
- b. The Bidder should submit the initial Risk Register as part of the Technical Proposal. The Risk Register should be filled in with project specific risks and should contain for each identified risk, at least the following information: risk identification code, type of risk, identification date, date of last revision, risk description, probability, impact, severity, counter-measures, the risk management responsible person, risk status (e.g., open, closed). The Risk Register should structure the identified risks by categories, for example, Project management/ Resources/ etc. and by project phases, for example, Analysis/ Design/ etc.

In this context, during the implementation of the project, it will be necessary to manage at least the following risk categories

- a. *Framework and requirements risks:* this category of risks refers to how the established perimeter of the acquisition and the related requirements can ensure clear communication and adequate coverage of NBM's needs in order to effectively achieve the objectives.
- b. *Technological risks:* refers to the risks generated by the selection of the most optimal techniques for the needs of the NBM, considering the balancing of needs between the classical solutions based on pre-established analysis rules and scenarios on the one hand and the new technological trends related to the machine learning on the other hand.
- c. *Resource risks:* this category refers to the risks associated with adequate resource planning and allocation to effectively achieve the project objectives. These risks also affect both sides (the Beneficiary and the Provider) and require appropriate management by establishing a complex and effective strategy.
- d. *Implementation risks:* refers to risks associated with implementation process of the solution that can affect the achievement of the objectives (goal, time and quality). In this context, it is absolutely necessary to establish all the circumstances, constraints and factors that may have a negative impact on the implementation process in order to be able to properly manage all identified risks.
- e. *Project risks:* this category refers to the risks of organizing the project, distributing responsibilities, setting clear acceptance criteria etc.

8.3. The Technical Proposal should not include any financial information. A Technical Proposal containing financial information will be declared nonresponsive.

9. Financial Proposals

- 9.1. Bidders are required to submit a full Financial Proposal. The Financial Proposal should provide the information indicated in Section 11, using the appropriate attachments where templates are provided.
- 9.2. Financial Proposals must be submitted with a detailed budget in Excel with clear quantities and unit costs using the budget template provided and a detailed budget narrative describing the basis of the costs proposed.
- 9.3. A detailed description on selected items from the full Financial Proposal is included below:

Budget Narrative. Separate budget narratives should be submitted for each budget. The detailed budget narratives should be submitted in Microsoft Word or Adobe PDF outlining the justification for each specific line item. The narrative should also include the payment schedule and proposed timing.

Cost Proposal. Detailed Excel budget using the template provided with clear quantities and unit costs in U.S. Dollars should be submitted to enable IDG to determine price reasonableness. This budget should include all costs associated with the development, testing, training, and the implementation of the Software Solution. The final total costs should be presented in U.S. Dollars.

Total Cost of Ownership (TCO). In a separate brief spreadsheet and narrative, please also list and describe any other costs associated with the total cost of ownership, beyond the costs proposed to IDG in the budget, after the Software Solution is fully functional. This should include support services (500-man hours for change requests), ongoing maintenance services (costs of maintenance covering a period of 5 years after warranty) etc. that the NBM will need to cover in the future, after the contract with IDG is completed.

Evidence of Responsibility. Contract representative will make an affirmative determination of responsibility. The Bidder must address each element of responsibility in the template provided.

10. Proposal Evaluation

- 10.1. From the time the proposals are submitted to the time the Contract is awarded, the Bidders should not contact IDG or NBM on any matter related to its Technical and Financial Proposal. Any effort by Bidders to influence IDG or NBM in the examination, evaluation, ranking of Proposals, and recommendation for award of contract may result in the rejection of the Bidders' Proposal.

11. Evaluation of Technical Proposals

- 11.1 The Evaluation Committee will evaluate the Technical Proposals on the basis of their responsiveness to the RFP applying the evaluation criteria, sub-criteria, and point system specified in Section 9. Each responsive proposal will be given a technical score. A Proposal will be rejected at this stage if it does not respond to important aspects of the RFP.

12. Evaluation of Financial Proposals

- 12.1 After the technical evaluation is completed, IDG in consultation with the Evaluation Committee will review the Financial Proposals. The Evaluation Committee will correct any computational errors. When correcting computational errors, in case of discrepancy between a partial amount and the total amount, or between word and figures the former will prevail. In addition to the above corrections, activities and items described in the Technical Proposal but not specifically priced will be assumed to be included in the total price included in the bid. IDG in consultation with the Evaluation Committee may also consider additional items in the TCO in addition to the costs proposed under this contract.

13. Negotiations

- 13.1 Negotiations will be held virtually by email and/or conference calls. The invited Bidder will, as a pre-requisite for entering negotiations, certify availability of all Professional staff. Failure in satisfying such requirements may result in IDG proceeding to negotiate with the next-ranked Bidder.
- 13.2 *Technical Negotiations.* Negotiations will include a discussion of the Technical Proposal, the proposed technical approach and methodology, work plan, organization, management, and staffing plan. IDG in consultation with the Evaluation Committee, and the Bidder will finalize the Technical Proposal, work plan, logistics, and reporting. These documents will then be incorporated in the Contract. Special attention will be paid to clearly defining the inputs and facilities required from IDG to ensure satisfactory implementation of the assignment. IDG should prepare minutes of negotiations which will be signed by IDG and the Bidder.
- 13.3 Having selected the Bidder on the basis of, among other things, an evaluation of proposed Professional staff, IDG expects to negotiate a Contract on the basis of the Professional staff named in the Proposal. Before contract negotiations, IDG will require assurances that the Professional staff will actually be available. IDG will not consider substitutions during contract negotiations unless both parties (IDG/Evaluation Committee and the Bidder) agree that undue delay in the selection process makes such substitution unavoidable or for reasons such as death or medical incapacity. If this is not the case and if it is established that Professional staff were offered in the proposal without confirming their availability, the Bidder may be disqualified. Any proposed substitute should have equivalent or better qualifications and experience than the original candidate and be submitted by the Bidder within 10 calendar days of the individual notifying the Bidder that he/she is no longer available.
- 13.4 *Financial Negotiations.* IDG in consultation with the Evaluation Committee, and the Bidder will review the detailed cost proposal together and discuss any areas in which IDG has questions or suggested revisions.
- 13.5 *Contract Negotiations.* Negotiations will conclude with a review of the draft Contract. To complete negotiations IDG and the Bidder will initial the agreed Contract. If negotiations fail, IDG will invite the Bidder whose Proposal received the second highest score to negotiate a Contract.

14. Award of Contract

14.1 After completing negotiations, IDG will submit a consent to subcontract request to USAID to obtain approval to award the contract to the selected Bidder. Once approved, IDG will promptly notify all Bidders who have submitted proposals of the award. The Bidder is expected to commence the assignment on the date and at the location specified in the final subcontract.

15. Conflict of Interest

15.1 Per ADS 302, organizational conflicts of interest generally fall under one of the following:

- i. **Biased Ground Rules:** Where a contractor sets the “ground rules” for a procurement (e.g., writing a procurement’s statement of work, specifications, or performing systems engineering and technical direction for the procurement), which appears to skew the competition in favor of the contractor. This comes into play when a procuring agency contracts for services to develop the terms of a procurement and the contractor or one of its affiliates subsequently competes for implementation of that contract work (see FAR 9.505-2). For example, an organization who was contracted by USAID to design an USAID activity wants to be eligible for the competition to implement the activity.
- ii. **Impaired Objectivity:** Where a contractor’s work under a federal contract requires the contractor to evaluate proposals/past performance of itself or a competitor, which calls into question the contractor’s ability to render impartial advice to the government (See FAR 9.505-3). For example, an organization contracted by USAID to evaluate an activity or contractor wants to provide services that are requested as a result of the evaluation.
- iii. **Unequal Access to Information:** Where a contractor has access to nonpublic information as part of its performance of a federal contract, which may provide the contractor (or an affiliate) with an unfair competitive advantage in current or future procurements (FAR 9.505-4). For example, an organization contracted by USAID to conduct audits seeks to do consulting work under contract with USAID (sometimes in competition with the firms audited)

15.2 The Bidder certifies that will comply FAR Part 9.5 and ADS 302, Organizational Conflict of Interest. The Bidder certifies that is not aware of any information bearing on the existence of any potential organizational conflict of interest. The Bidder further certifies that if the Bidder becomes aware of information bearing on whether a potential conflict may exist, that Bidder shall immediately provide IDG with a disclosure statement describing this information.

16. Fraud and Corruption

16.1. IDG does not tolerate fraud, collusion among Bidders, falsified proposals/bids, bribery, or kickbacks. Any firm or individual violating these standards will be disqualified from this procurement, barred from future procurement opportunities, and may be reported to both USAID and the Office of the Inspector General.

Section 9. Evaluation Criteria

1. General Information

- 1.1. IDG may award a contract without discussions with Bidders in accordance with FAR 52.215-1. Therefore, the Bidder's initial proposal should contain the Bidder's best terms from a price and technical standpoint.
- 1.2. IDG and the Evaluation Committee intend to evaluate proposals in accordance with Section 8 of this RFP and award to the responsible Bidder, whose proposal offers the best value, considering both cost and non-cost factors, to IDG, USAID, and the NBM.
- 1.3. The submitted technical information will be scored by a technical Evaluation Committee using the technical criteria shown below. The Evaluation Committee may include industry experts who are not employees of IDG, although only as non-voting members.
- 1.4. Cost has not been assigned a numerical weight. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price.

2. Technical Evaluation Criteria

Technical Proposals will be evaluated according to the criteria presented below, which reflect the requirements of the activity. IDG will score each technical proposal based on the scoring criteria below.

Criteria	Points
1. Bidder's experience (5 points) 1.1 Past Performance (number of successful implementations, client reference list)	5
2. Bidder's response(s) to the functional requirements (40 points) 2.1 Data Connectivity and Data Management 2.2 Detection and Analytics 2.3 Case Management 2.4 Reporting 2.5 Administration	10 10 10 5 5
3. Bidder's response(s) to non-functional requirements (22 points) 3.1 Overall Architecture 3.2 System Management and Administration 3.3 User Interface 3.4 Security 3.5 Performance 3.6 Licensing	5 3 3 5 3 3
4. Bidder's response to implementation and post-implementation requirements (20 points) 4.1 Project Approach and Methodology 4.2 Work Plan 4.3 Risk Management Plan	3 4 3

Criteria	Points
4.4 <i>Implementations services</i>	4
4.5 <i>Project management</i>	3
4.6 <i>Post implementation</i>	3
5. <i>Evaluation of the Bidder and of the project team (13 points)</i>	
5.1 <i>Team Composition</i>	4
5.2 <i>Project team experience and expertise based on CV's</i>	9
<u>Total points for the technical proposal</u>	<u>100</u>

3. Financial Proposal Evaluation

IDG and the Evaluation Committee will evaluate the proposed costs to determine if they are fair and reasonable using proposal analysis techniques consistent with FAR 15.404. The evaluation of cost will include a determination of cost realism, completeness, and reasonableness. An analysis of the proposed cost will be conducted to determine the validity and the extent to which it reflects performance addressed in the technical proposal.

4. Determination of Competitive Range

The competitive range of Bidders with whom discussions may be conducted will be determined by the IDG contract representative pursuant to FAR 15.306 (c). Bidders are advised that, in accordance with FAR 52.215-1, if the contracting representative determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the contracting representative may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.

5. Selection

In accordance with FAR 52.215-1(f), IDG in consultation with the Evaluation Committee intend to award a contract resulting from this solicitation to the responsible Bidder whose proposal represent the best value after evaluation in accordance with the factors as set forth in this RFP. This procurement utilizes the tradeoff process set forth in FAR 15.101-1. The contract representative shall award the contract to the Bidder whose proposal represents the best value to the IDG, USAID, and the NBM. The contract representative may award to a higher priced Bidder if a determination is made that the higher technical evaluation of that Bidder merits the additional cost/price, and therefore represents the best value.

Section 10. Technical Proposal - Templates

The full Technical Proposal must include all elements listed below. Templates are provided for selected items in the list. A more detailed description of these items is included in [Section 8](#).

1. Technical Proposal Submission Letter ([Attachment 1](#))
2. Organization Description – 3 pages
3. Past Performance Information ([Attachment 2](#))
4. Executive Summary – 5 pages
5. Description of the Solution's Technical Approach and Methodology – 5 pages
6. Comments on the RFP – 2 pages
7. Work Plan
8. Response(s) to Functional Requirements ([Attachment 3](#))
9. Response(s) to Non-Functional Requirements ([Attachment 4](#))
10. Response(s) to Implementation Services Requirements ([Attachment 5](#))
11. Response(s) to Project Management Requirements ([Attachment 6](#))
12. Response(s) to Post-Implementation Requirements ([Attachment 7](#))
13. Staffing Plan and Level of Effort ([Attachment 8](#))
14. Professional Staff CVs ([Attachment 9](#)) – 3 pages per CV
15. Professional Staff Letters of Commitment
16. Risk Management Plan – 5 pages

Attachment 1. Technical Proposal Submission Letter

[Location, Date]

To: *[Name and address of Client]*

Dear International Development Group LLC:

We, the undersigned, offer to provide the consulting services for *[Insert title of assignment]* in accordance with your Request for Proposal dated *[Insert Date]* and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal submitted in separate email submissions.

We hereby declare that all the information and statements made in this Proposal are true and accept that any misinterpretation contained in it may lead to our disqualification.

If negotiations are held during the period of validity of the Proposal, we undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

We undertake, if our Proposal is accepted, to initiate the consulting services related to the assignment not later than the date indicated in Section 1.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature: _____

Name and Title of Signatory: _____

Name of Bidder: _____

Address: _____

Attachment 2: Past Performance Information

Bidders should provide relevant information on past performance examples from a maximum of three (3) relevant assignments implemented in the past five (5) years. The prime Bidder should also include one (1) relevant assignment for each proposed subcontractor (if any subcontractors are proposed). Information should be provided only for those assignments for which the Bidder was legally contracted as a corporation or as one of the major Bidders within a joint venture. Each past performance example should be provided using the template below.

PAST PERFORMANCE REPORT - SHORT FORM	
Contract Information (to be completed by Bidder)	
1. Name of Contracting Entity:	2. Contract No.:
	3. Contract Type:
Dates:	4. Contract value (TEC):
Project Title: Place(s) of Performance: Scope of Work: Skills/Expertise Required:	
6. Problems: (If problems encountered on this contract, explain corrective action taken.)	
7. Contact Reference: (Name, Telephone Number, E-mail address, and Mailing Address)	
8. Bidder:	

Attachment 3. Response(s) to Functional Requirements

Use the following template to explain how the proposed Software Solution will address functional requirements. If any of the requirements marked as “Mandatory” are not part of the standard Software Solution, the software provider should state in the respective columns if it is possible to achieve the required functionality by customization of existing function or by developing it or not possible to cover such functionality at all. Detailed description of how the software provider achieves implementation of the particular functionality or what the customization process is and effort associated with it should be included in the column *Detailed Explanation* (this column cannot be left blank; blank replies will receive no credit). All requirements labelled as “Preferable” will be considered as an advantage, provided the essential criteria are fulfilled. Bidders may provide licensing and implementation services costs separately for “Mandatory” requirements and for all requirements including the “Preferable” items.

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
1. Data Connectivity and Data Management					
FR 1.01	Connectors to data providers and registers	<p>The solution should be capable of connecting to a number of commercial databases, public registers and other databases that have standard connectivity options or be able to continually download various (sanctions/black/other) lists. Please describe the connection options provided within your solution.</p> <p>Note: The definition of the source databases used by the NBM is included in Section 4, <i>Table 3: Application Architecture (Integration perspective)</i>. All databases and data sources will be provided by the NBM in a standardized and structured form.</p>	Mandatory		
FR 1.02	Data extraction, transformation and loading	<p>The solution should provide Extract Transform Load (ETL) like capabilities, that would enable data extraction, processing, validation and loading into a centralized repository. ETL tool should be able to extract data from basically all the data sources available and described in Section 4, <i>Table 3: Application Architecture (Integration</i></p>	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<p><i>perspective</i>). At the same time, it should not be limited to the described data sources, allowing extraction from almost any source heterogeneous data source (e.g., files: ex. xml, txt, csv, xls etc., database: ex. Oracle, Microsoft SQL etc.).</p> <p>The ETL tool should provide the possibility to initiate and establish various connection types (e.g., FTP, calling web services), according to a set time schedule or according to predefined events. It should be able to detect and extract automatically all the new data according to established scenarios. It should support best practices in the field of data extraction techniques in use today (e.g., in scheduled batch type regime, sequential, parallelized, incremental extractions etc.). It should allow configuration of data importing scenarios for each source / type of data separately.</p> <p>In order to ensure efficient operations and to ensure high quality of data, the toolkit should provide complex mechanisms of validation, cleansing and transformation of data. To this end, it should provide adequate and intuitive tools that allow designing/ management of processes (flows) and validation, cleansing and transformation rules.</p> <p>The important functions of ETL tool should be able to access/use by friendly GUI interfaces. All operations of planning, coordinating, execution of data extraction procedures should be easily configured through graphical interface, using</p>			

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		standard functions of ETL tool. ETL tool should provide a GUI-like development environment, which will allow modelling and managing of processes related to extraction, validation, transformation and loading of data into data repository in an intuitive manner, drag-and-drop type. For this purpose, the Bidder should indicate in the description of the proposed toolkit an explanation of how it can support all the above-mentioned requirements.			
FR 1.03	Web crawler	It is recommended that the tool has a web crawling functionality to search online sources that do not have standard interfaces (API) or other connectors. It should be possible to easily and quickly add a new data source via a web crawler. It would be sufficient to provide the hyperlink to the website with the content matching the search query.	Preferable		
FR 1.04	Social media and networks	It is recommended that the solution has the ability to search a number of social networks (Twitter, Facebook, YouTube, Flickr, Instagram, Tumblr, Odnoklassniki, LinkedIn etc.), blogs, discussions related to articles in news, web forums and other discussion platforms and similar sources.	Preferable		
2. Detection and Analytics					
FR 2.01	Rule based detection	The solution should use a rule-based approach for triggering alerts. A rule represents a risk indication. NBM will provide a number of major rules which should be implemented within the solution. The solution needs to be flexible enough to enable the definition of new rules / modification of the existing ones. There should be no	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<p>restrictions to the number of simultaneous active rules. The rules differ for the purposes of AML/CFT Division and Shareholder Transparency Unit.</p> <p>Sample of common detection rules for Shareholder Transparency Unit (the full list might total approximately 50 rules):</p> <ul style="list-style-type: none"> - New shareholder; - Buying /registering shares in the same hour/day or near period of time in the same bank; - Buying similar number of shares, usually under the amount for qualifying holding; - Using the same financial source to buy shares; - Using the same broker/intermediary to buy shares; - Directing of dividends to the same person or group of persons; - Using their voting rights, the same way; - Having the same legal representative; - Having the same administrator/director/UBO/shareholders/associates; - Having the same address, phone, headquarters; etc. <p>Sample of detection rules for AML/CFT Division (the full list might total approximately 50 rules):</p> <ul style="list-style-type: none"> - Significant inflow/outflow of foreign currency in/from the Moldovan banking sector within a short period of time; - Trend in increasing transactional activity with high-risk jurisdictions; 			

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<ul style="list-style-type: none"> - Rapid movement of funds in a local/foreign currency between local banks without any clear business reason; - Significant inflow/outflow of cash occur in a bank/banks without any clear business rationale; - Increased number of transactions with sanctioned/blacklisted countries. <p>Note: The rule-based detection can be complemented by an advanced analytics approach (machine learning etc.).</p>			
FR 2.02	Monitoring changes	The solution will be used to continuously monitor the shareholders and UBOs. It is necessary that the solution enable the setting up of a number of rules which will monitor relevant changes in selected data sources, e.g. name that matches the name of UBO/shareholder/administrator of the shareholder was added to a sanction list.	Mandatory		
FR 2.03	Transactions monitoring	<p>It is required that the solution be able to integrate transactions (local, international – SWFT MT103/202 – as well as cash, report on purchase and sale operations of foreign currency – excel reports) for monitoring if there are any suspicious patterns (as define through the rules). It is not the aim of the NBM to monitor the transactions online or to block transactions.</p> <p>Note: The definition of the source databases transactional database is included in Section 4, <i>Table 3: Application Architecture (Integration perspective)</i>. All databases and data sources are/will be provided by the NBM in standardized structure form.</p>	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 2.04	Aggregation of detection results per Shareholder/ Customer/Bank	It is required that the detection rules be linked into combined scenarios with results for one shareholder/UBO/customer/bank incorporated into one alert.	Mandatory		
FR 2.05	Rule scoring, scenarios and prioritization of alerts	The solution will provide prioritization of Alerts (identified hits) according to their severity. The scoring of Alerts will be based on weights of risk related to each of the rules and combine multiple searching rules into a scenario.	Mandatory		
FR 2.06	Customization and set up of new search terms and/or detection rules done by end users	<p>It is required that NBM analysts have the possibility to edit existing and add new detection rules, combine them into scenarios and set up weights of the rules. This should be possible via tools that are easy to use by non-technical staff (no programming needed).</p> <p>It is required that NBM analysts will be trained to set up new rules and as part of the training phase as additional rules will be implemented.</p>	Mandatory		
FR 2.07	Custom scheduling and triggering of rule execution	It is required that NBM analysts be able to schedule detection rules individually. For example, some rules might be triggered by an event, some will run every day, some will run every first day of the month etc.	Mandatory		
FR 2.08	Search through various data sources	It is required that the solution will integrate all available data sources and will allow NBM analysts to select relevant data sources and columns/attributes in source. The searching functionality will be also used for the detection rules.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<p>For example, the solution should allow the following:</p> <ul style="list-style-type: none"> - Search within the population of international and domestic payments for information related to the shareholder or his affiliated persons; - Search within the CRR data for information related to the shareholder or affiliated persons; Search within the historical cases – was the shareholder or any of the affiliated parties a subject for investigation, was there any penalty/withdrawal of shares imposed etc.; - Search within the population of both local and international payments with the data from the daily banks’ reports on foreign exchange transactions performed on intra and inter-bank market; - Search within the database of commercial registers data, sanction lists and blacklists. <p>Note: The definition of the source databases transactional database is included in Section 4, <i>Table 3: Application Architecture (Integration perspective)</i>. All databases and data sources are/will be available with the NBM in standardized structure form.</p>			
FR 2.09	Advance searching operators	The solution will allow the analyst to use wildcards, Boolean, proximity, date filters and other operators in order to make the search term more precise and limit the number of false positive hits. This functionality will be used also for the detection rules.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 2.10	Transliteration of search terms	The solution should allow the number of UBOs which can be citizens of countries where the Latin alphabet is not used. Therefore, it is important that the solution is able to automatically transliterate the search terms into other alphabets (Cyrillic). This functionality will be used also for the detection rules.	Mandatory		
FR 2.11	Fuzzy searching algorithms	It is required that the solution will use fuzzy searching algorithms in order to identify all potentially relevant hits, including different transliterations, spelling mistakes, typos, phonetic matching etc. The functionality should allow NBM analysts to set a similarity score and has to be available also for the detection rules. Please describe distance functions or fuzzy searching algorithms used by the solution.	Mandatory		
FR 2.12	Search within the attached documents and historical cases	The software should support the full text indexing of attached documents within the historical cases. This functionality will be used also for the detection rules.	Mandatory		
FR 2.13	Network analysis	It is required that the solution support the review and investigation and use network analysis, i.e. automatically joining every piece of relevant data together and creating a network of important information describing the whole situation. This may include analytical reports and visualizations like network charts of an ownership structure, payment flow etc. The networks should be dynamically expandable to the next level in order to see further related parties or transactions. Analysts should be able to include information manually into the network chart.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 2.14	Drill down (inquiry engine)	It is required that the system be able to display detailed information for the Alert based on source data. The drill down should be available directly from the case management.	Mandatory		
FR 2.15	Support of black/white list/special entities list	It is required that the solution support black and white lists functionality including its upload from a spreadsheet or a text file.	Mandatory		
FR 2.16	Data mining & Statistical and mathematical analysis	<p>It is required that the detection and/or Alert scoring can be enhanced through further data mining or other techniques that improve the scoring and limit the number of false positive hits.</p> <p>For example, it should have the ability to detect risky situations/behaviors based on a prediction analysis.</p> <p>Please specify what data mining and further analytical functionality is supported.</p>	Mandatory		
FR 2.17	Visualizations	It is required that the solution provide a number of highly configurable visualizations, including financial data visualization, network visualization, e.g. flows and entities and dependencies between them to identify hidden connections between the bank's customers.	Mandatory		
FR 2.18	Transparent reasons for triggering alert	It is required that the solution provide descriptions for creating an alert with further details of the entities involved, e.g. display the underlying data with a reason why it was triggered. In turn, this trigger will be used for the on-site visit and any associated previous alerts in the system.	Mandatory		
FR 2.19	Bank Risk Rating (BRR)	The software solution should calculate and use the BRR on the shareholder and bank level. BRR will be also one of the factors affecting scoring of the alerts and their triggering. While most factors	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		contributing to risk rating are quantitative, other are qualitative, for instance bank's reputation. This brings the need to set the weights of each factor.			
FR 2.20	Predefined rules library for detection of anomalies	It is considered as an advantage if the solution already contains a library of rules. Please list examples of scenarios/packages that are covered by the rules' library, (e.g. Frequency analysis of data (dates, addresses, names) to find outliers or unusual concentrations etc.)	Preferable		
FR 2.21	Instant translation of search term	It would be beneficial for the solution to be able to translate the search terms into other languages (Romanian, English, Russian etc.).	Preferable		
FR 2.22	Geographical analysis	It will be considered an advantage if the solution provides geographical analysis. For example, display entities on map, highlighting entities located at the same address or locations with high density of searched entities. Please specify how geographical analysis is supported.	Preferable		
FR 2.23	Self-learning component	It will be considered an advantage if the detection and/or Alert scoring is enhanced through a self-learning component that recognizes recurrence, statistically aberrant behavior or improves the scoring based on history of analysts'/investigators' actions etc. Please specify how machine learning component is supported.	Preferable		
3. Case Management					
FR 3.01	General requirements	<p>It is required that the solution will provide full lifecycle support for the management of the cases related to ST and AML activities, like:</p> <ul style="list-style-type: none"> - Determine automatic case allocation that should be flexible and based on the number of rules set by the NBM; - Support for the user case creation; 	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<ul style="list-style-type: none"> - Allow creation of flexible workflow in order to cover all existing and possible next steps of investigation; - Facilitate preparation of a report – the ability not only to document the off-site investigation materials, but also to incorporate and structure the findings and documents prepared during on-site inspections; - Provide capabilities to populate information from analytical parts to a predefined template; - Store the supporting evidence related to the case and allow for the creation of a package which could be used in a court proceeding; - Search within historical cases – was the shareholder or any of the affiliated parties the subject of an investigation, was there any penalty/withdrawal of shares imposed etc.; - Define various roles with different access rights: e.g. searching, analysis, approval, allow access to users from other units; - Full audit trail functionality. 			
FR 3.02	Alert Management	It is required that the alert management include all the modules and serve as the main interface for users to see alerts and perform the analysis.	Mandatory		
FR 3.03	User case creation	It is required that the solution support user case creation to address the ad-hoc requests and information obtained from internal and external sources – this can be done for both existing shareholders approved by the Licensing Unit and shareholders which are waiting for approval, as well as in AML/CFT purposes.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 3.04	Alert details view	The software should display all information about the alert and shareholder in question no matter if it was opened manually, automatically triggered or opened based on the scheduled plan. Display source data including the reason why an alert was triggered.	Mandatory		
FR 3.05	Workflow editing, workflow definition	The solution should enable NBM analysts to customize the workflow.	Mandatory		
FR 3.06	Multiple workflows	The solution should support multiple workflow scenarios to cover various types of investigations. Multiple (up to 5) workflows should be implemented. Each step of the workflow should have the “upload attachment” functionality, free text box for writing summaries and notes, possibility to export the step to word document, picture (for network analysis) or PDF.	Mandatory		
FR 3.07	Enable follow up of the Alerts	It is required that alerts will (have to) be followed up in the case management workflow.	Mandatory		
FR 3.08	Record steps taken	The case management should enable (and/or require) to record all steps taken by a reviewer or an investigator.	Mandatory		
FR 3.09	Attach supporting evidence in various formats	It is required that the supporting evidence will be attached to the case management in various formats.	Mandatory		
FR 3.10	Export of the evidence documents	It is required that the solution will allow creation of a package (a folder of the selected attachments and analysis to be exported) of evidence documents related to the case which could be used for a court proceeding.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 3.11	Custom attributes in case management	The solution should allow NBM's designers to set new attributes in the case management. New attributes will be used for searching and filtering.	Mandatory		
FR 3.12	Delegation, escalation and assignment of alerts and tasks	The solution should allow analysts to automatically or manually assign the Alerts and tasks to a certain user or group of users. It will be possible to delegate or bulk re-assign the tasks to other users. Aging Alerts may be escalated.	Mandatory		
FR 3.13	Filtering and searching through all cases and Alerts in the system	The case management should allow investigators to filter and search using various fields within all alerts and cases that have not been archived yet.	Mandatory		
FR 3.14	Complete history of all alerts and cases	The solution requires that all cases and Alerts need to be saved. After a certain period of time, they can be archived.	Mandatory		
FR 3.15	Connecting case management module and data analysis module	It is required that the case management and data analytical modules are directly connected to allow investigators to understand the related alerts/scoring and further investigate them in the data analysis module, e.g. perform a network analysis, search within payments, CRR or other sources etc.	Mandatory		
FR 3.16	Connecting, linking, merging of cases	The solution should allow for related Alerts to be linked or cases to be manually merged.	Mandatory		
FR 3.17	'Yearly plan' trigger of analysis	It is recommended that within the solution there will be an option to manually trigger the analysis. For example, open the investigation of all the shareholders of one particular bank; open the investigation of all shareholders that hold shares above a certain threshold; and/or open investigation of customers posing a high risk of ML/TF.	Preferable		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 3.18	Re-screening after certain period of time.	It is recommended that within the solution there will be an option to set the parameters to allow automatic opening of investigations of shareholders after a certain period of time after previous investigation, as well as for previous ML/TF analyzed cases.	Preferable		
FR 3.19	Direct query to the database of case management	It will be considered an advantage if a (super) user can analyze case data without using the application part but using the querying required data and cases directly in database. Either standard querying language (SQL and similar) or a graphical query builder is expected.	Preferable		
FR 3.20	Multiple custom expiration intervals/reminders for each case	It is recommended that the solution provide an option to set multiple custom expiration limits for each case. Certain cases may be of high importance and may require different treatment.	Preferable		
4. Reporting					
FR 4.01	Investigation report templates	It is required that the solution will facilitate preparation of the investigation report and populate information from analytical parts to a predefined template.	Mandatory		
FR 4.02	Expected reports	It is required that the solution provide a set of standard reports to various users and recipients, e.g. shareholder transparency monitoring unit, internal audit, management of the bank, AML risk monitoring etc. The following areas of coverage should include but not be limited to: a. Statistical overview of open alerts/cases/investigations, i.e. current work in progress; b. Statistical overview of investigations conducted, closed cases, triggered alerts, i.e.	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<p>overall performance of the unit and of the particular user;</p> <ul style="list-style-type: none"> c. Success rate, level of false positive alerts; d. Comparison to yearly KPIs (which would be inserted manually by administrator); e. Duration of different stages of investigation (per phase, per employee, per bank etc.); f. Management dashboard focusing on information about banks – both current state and historical views; g. Number of shareholders per bank; h. Number of transparent and non-transparent shareholders; i. Percentage of non-transparent shareholders per bank; j. Number of cases; k. Results of investigations; l. Shareholder’s transparency risk rating of the bank (please see the detailed description below); m. Statistical overview, including charts, for payment flows both local, international and cash; n. Risk scoring for identified AML vulnerabilities and suspicious; o. Statistical overview, including charts, for payments flow involving high risk jurisdictions/customers/products. <p>The definitive list of output reports will be determined during analysis phase, but will not exceed 100 customized reports.</p>			

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 4.03	User-defined reports	<p>The solution should allow our analysts and investigators to create ad-hoc reports, based on all the available data from the repository.</p> <p>NBM analysts should be able to use:</p> <ol style="list-style-type: none"> filters on any required column; aggregation by any required column; usage of basic statistical functions (count, sum, avg, median, min, max); usage of logical functions (and, or, not, if) and basic text functions. 	Mandatory		
FR 4.04	Formatted printouts/exports to MS Office	It is required that the reporting outputs be available at least in MS Office formats, PDF and images (JPEG, PNG, EMF or similar) for visualization/charts.	Mandatory		
FR 4.05	Preparation of statistical reports and dashboards for transactions volumes/geographies involved etc.	It is required that the solution provide the possibility to create a sample of the transactions according to the specified by the user parameters and return the list of the transaction matching them.	Mandatory		
FR 4.06	Export of the samples prepared	It is required that the solution support export to an excel file of the transactions matching the user query (see 4.05)	Mandatory		
5. Administration					
FR 5.01	Audit trail history of changes made	<p>It is required that all user actions, the changes of the rules, scheduling and any actions done in case management will be tracked. The audit trail should be fully searchable.</p> <p>The audit trail should allow answering following questions related to:</p> <ul style="list-style-type: none"> - what was updated / added / deleted / viewed - store original value and new value; - when - exact timestamp; 	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		- by whom - application username, operation system username, role.			
FR 5.02	User management	<p>The solution should include user management functionality including management of user groups/roles with various privileges.</p> <p>The desired business processes consist of numerous tasks performed by different specialized Unit members and other bank representatives (i.e. users of the Software Solution). The roles can be shared (e.g. Head of the Unit can have “Approver”, “Rules designer” and “Admin” role at the same time) within one user profile. Hence the Software Solution needs to provide flexibility in access rights management to allow, in particular:</p> <ol style="list-style-type: none"> 1. Separate user groups with different access rights to be set up in order to make the communication between the responsible Unit and other NBM stakeholders efficient. Example of types of users and sample of the related tasks would include: <ol style="list-style-type: none"> a. For the Shareholders Transparency Unit: <ol style="list-style-type: none"> i. Analyst (Investigator) represents the main users performing the investigation on alerts and cases assigned to him/her. After finishing all the steps as indicated in the previous section and completing the report, the status of the case should be changed and made available to an approver. Regulation and Authorization Department in some cases can have this function. 	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<ul style="list-style-type: none"> ii. Head of the Unit and Head of the Department (Approvers) represent the users who review, validate and approve the investigation performed and documented within a case. They should have an option to either send the case back to the analyst or approve the case. Further workflow and approval/review process is expected to be done outside of the Solution. iii. Regulation and Authorization Department and on-site team members (Viewers) may be allowed to have read-only access to search module or a specific case, based on given rights. iv. Rules designers are users who are responsible for the creation and update of the detection rules and scoring model. v. Admin users are responsible for user and access management, definition or roles by granting the appropriate rights and permissions. b. For the AML/CFT Division: <ul style="list-style-type: none"> i. Analysts represent the main users performing the on-site inspection, review of alerts and cases assigned to him/her. After finishing all the steps as indicated in the process description section and completing the report, the status of the case should be changed and made available to an approver. 			

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
		<ul style="list-style-type: none"> ii. Head of the Division (Approvers) represents the user who reviews, validates and approves the analysis and reviews steps performed before and during the on-site inspections that are documented within a case. Approvers should have an option to either send the case back to the analyst or approve the case (results of the inspections). iii. Team members from Department of Banking Supervision (Viewers) may be allowed to have read-only access to the search module or a specific case, based on given access rights. iv. Rules designers are users who are responsible for the creation and update of the rules and scoring model. v. Admin users are responsible for user and access management, definition or roles by granting the appropriate rights and permissions. c. To ensure that cases marked as, for instance, “strictly confidential” are not accessible (not even as “read only”) to any other NBM stakeholders. d. Allow sufficient flexibility of access rights even for the reporting the functionality and availability of dashboards and statistics. 			
FR 5.03	Export of the data	It is required that the tool allow users/NBM to export its data into different data formats (e.g. xml, xls, csv, pdf, docx etc.)	Mandatory		

ID	Requirement	Description	Importance	YES / NO / NA (Not applicable)	Detailed explanation
FR 5.04	Backup/Recovery Process	It is required that provided solution should be delivered with tools/scripts for define custom backup policy at database level.	Mandatory		

Attachment 4. Response(s) to Non-Functional Requirements

Use the following template to explain how the proposed Software Solution will address non-functional requirements. If any of the requirements marked as “Mandatory” are not part of the standard Software Solution, the software provider should state in the respective columns if it is possible to achieve the required functionality by customization of existing function or by developing it or not possible to cover such functionality at all. Detailed description of how the software provider achieves implementation of the particular functionality or what the customization process is and effort associated with it should be included in the column *Detailed Explanation* (this column cannot be left blank; blank replies will receive no credit). All requirements labelled as “Preferable” will be considered as an advantage, provided the essential criteria are fulfilled. Bidders may provide licensing and implementation services costs separately for “Mandatory” requirements and for all requirements including the “Preferable” items.

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
1. Overall Architecture				
NF 1.01	The architecture should be aligned to best practices and standards to meet the highest criteria for security, compatibility, performance and reliability.	Mandatory		
NF.1.02	The solution will have an open and modular architecture, which will allow easy integration with different systems and data sources.	Mandatory		
NF 1.03	Due to the high amount of processed data and to ensure increased productivity, the solution should have native integrated capabilities such as in-memory processing, multi-thread processing, parallel execution of jobs etc.	Mandatory		
NF 1.04	The solution should ensure a high level of stability and operational performance. In this regard, the solution should have effective mechanisms for handling errors, in order to avoid data loss, system-wide blocking processes, system failure etc.	Mandatory		
NF 1.05	The solution should have the ability to be adapted in a timely manner to new business needs. It is very important that this will be possible only through parameterization and configuration adjustments in the applications (versus changes in code), thus minimizing adjustment costs supported by the NBM.	Mandatory		
NF 1.06	The solution should be easy maintainable. In this regard, the solution architecture should allow implementation of new versions delivered by the software provider without affecting the architecture of existing customizations,	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
	components implemented by the NBM and interfaces with other external applications.			
NF 1.07	The solution should have user-friendly interfaces, be simple and intuitive in use.	Mandatory		
NF 1.08	<p>The solution should ensure a very high level of security, taking into account the sensitivity of the data so that control measures provided at the system level are proportional to the risks involved. In this regard, the most important security objectives to be achieved are:</p> <ol style="list-style-type: none"> a. ensure confidentiality, authenticity, and integrity of information during processing, storage or transmission of information (including messaging / packages / files); b. ensure an effective control of access and prevent any unauthorized access to its data; c. ensure an effective auditing by monitoring and logging user activities at the system level; d. prevent loss, modification or misuse of information within the system; 	Mandatory		
NF 1.09	Platform technologies presented in the solution architecture should be open technologies or widely used technologies.	Mandatory		
NF 1.10	<p>The proposed solution will meet the minimal infrastructure requirements described in <i>Table 4 refers to infrastructure requirements from the client and server side.</i></p> <p><i>Table 4: Minimal infrastructure requirements.</i></p>	Mandatory		
NF 1.11	<p>The technological and infrastructure architecture represents all software and hardware components necessary to ensure the operating environment in which all solution components should run. The technological platform includes development platforms, database management systems, operating systems that can run solution components, specific system software required to be installed for correct run of the solution, hardware platform that can run solution components etc.</p> <p>In order to be scalable, flexible and easily maintainable, it is recommended that all solution components have a minimum level of dependence on the technological platform on which it runs.</p>	Preferable		
2. System Management and Administration				

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
NF 2.01	<p>One of the most critical concerns for the NBM is to have full control over the implemented Software Solution. This is crucial in order to ensure sufficient flexibility when (any) changes and updates to the regular operation are needed. Therefore, the members of Shareholder Transparency Unit and AML/CFT Division should be able to manage independently the following tasks:</p> <ol style="list-style-type: none"> 1. Maintenance of detection rules including setting up new detection rules, scenarios and parameters and calibrating them; 2. Alert monitoring and assigning to the Unit members based on automatic rules or manually; 3. Case monitoring and controlling; 4. Access right authorization to new or existing users; 5. Monitoring of activities, i.e. logging and possibility of monitoring all activities performed within the Software Solution; and 6. Creation of various reports. 	Mandatory		
NF 2.02	<p>The solution should allow NBM to define and integrate easily with new data sources (e.g., external database, external web service, external file). In this regard, the solution will provide all the tools needed for this purpose: data mapping, data transformation. The main data sources, which have to be integrated during the implementation project, are described further in Section 4, <i>Table 3: Application Architecture (Integration perspective)</i>.</p>	Mandatory		
NF 2.03	<p>The solution should allow at least the following user configurable operations:</p> <ol style="list-style-type: none"> a. define/customize business rules/criteria for data analysis; b. define/customize automated actions based on different events, time schedule; c. define new reports, based on customizable templates. 	Mandatory		
NF 2.04	<p>The solution must provide friendly GUI interfaces for administrators to allow the customization/configuration activities, where most operations can be performed by drag-and-drop.</p>	Mandatory		
NF 2.05	<p>The solution must be able to store all operational and historical data for a minimum of five years, without affecting its performance.</p>	Mandatory		
NF 2.06	<p>The system must support some data archiving procedures. Vendor has to describe archiving approach and automated / manual procedures supported by the solution.</p>	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
NF 2.07	<p>NBM will operate at least the following environments for the tendered solution:</p> <p>a. <i>Production</i>: This will be the main environment to deploy the solution for production;</p> <p>b. <i>Testing</i>: NBM will maintain the test environment even after going into production, for development and testing purposes for 2 users; In this regard, the Bidder will consider these facts, when calculating the number of licenses.</p>	Mandatory		
NF 2.08	The solution should provide the needed functionality to allow the transfer of data between different environments.	Mandatory		
NF 2.09	The solution should have in place some mechanisms to assure puzzling or depersonalization of the data when copied from production to test environment.	Preferable		
3. User Interface				
NF 3.01	The time required for training in order to use the solution should be minimal. Users should have access to information anytime in order to facilitate the proper use of the solution.	Mandatory		
NF 3.02	Documentation related to the solution should contain complete guides, detailed and updated for all groups of users.	Mandatory		
NF 3.03	The solution should allow saving intermediate work and operations initiated by the user (automatically or at user request).	Mandatory		
NF 3.04	User interfaces should allow easy navigation through solution forms, by using complementary mechanisms (e.g., mouse and/or keyboard and/or special functions).	Mandatory		
NF 3.05	The solution should allow users to customize its own workspace (e.g., adding menu items to favorites, displaying the latest hits, save searches, save templates etc.).	Preferable		
4. Security				
NF 4.01	All access credentials used by the application should be configurable in the administrative interface. Applications should not contain hardcoded credentials for access.	Mandatory		
NF 4.02	None of the solution components should contain stored access credentials in open form (in databases, configuration files).	Mandatory		
NF 4.03	All solution related system processes should run with minimum privileges needed to execute the tasks assigned.	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
NF 4.04	<p>For user management, identification, authentication and access control the following requirements are applicable:</p> <ol style="list-style-type: none"> a. The solution should allow granular management of access rights to all data and possible operations with them. A typical example of granular use case, is the segregation of user access rights by banks, where different persons will have access to the data based on the origin bank b. Authorization method within the solution should be based on the principle “everything which is not explicitly allowed is forbidden”. c. The solution should allow for the definition of groups of users and roles in the application, and the association of users in the application to these groups and roles. d. The solution should allow granting of access rights at the level of users, groups and user roles. A group can contain multiple subgroups / roles. A user can be assigned to one or more groups and roles; their access rights are determined cumulatively. e. The solution should allow granting of access rights based on business rules (e.g., modifying a template only if the user is an author). f. The solution should allow temporary delegation of rights owned by a user to another user. The delegation of rights should be made with preservation or suspension of the rights owned by the user to whom the rights are assigned. g. The solution should have interfaces and reports relating to existing access rights to data. They can be parameterized according to at least the following parameters: user group/role in the applications, user ID, data category, operations permitted. h. Users from all groups should be identified and authenticated based on integration with directory services of the Beneficiary (LDAP / Active Directory). i. The system should disconnect individual user after idle period expiration. j. The system must block a user after a preconfigured number of unsuccessful login attempts. 	Mandatory		
NF 4.05	For auditing and security monitoring, the following requirements are applicable:	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
	<p>a. The proposed solution will have audit components that will centrally collect and manage audit records at each component level.</p> <p>b. Audit component should allow granular configuration of audit policies.</p> <p>c. The proposed solution should allow for determining the specific characteristics of events that must be registered (e.g. products in a certain period, certain events, and facts).</p> <p>d. Application should allow auditing of any event within the application.</p> <p>e. Each audit record should contain at least:</p> <ul style="list-style-type: none"> i. Moment in time of the event; ii. Subject of the event (User ID); iii. Categories of affected data/parameters; iv. Event that happened; v. IP address of the source that initiated the event, or any other information permitting to identify the source; <p>f. Audit component should use the system clock set to the operating system that runs the audit component.</p> <p>g. Audit component should be able to be integrated with solutions based on open standards, such as SIEM (Security Incident and Event Management) to take over the audit records produced in the solution by SIEM.</p> <p>h. The solution should have also its own user interfaces for accessing and processing recorded log events, including filtering of audit records by any field owned and their export in the usual format.</p> <p>The proposed solution should have secure mechanisms to protect the integrity of audit information recorded.</p>			
NF 4.06	The solution will be able to encrypt sensitive data stored in the database.	Preferable		
5. Performance				
NF 5.01	<p>The required solution must have the ability to process in a timely manner the analysis performed by NBM, according to volumes resulting from NBM's activity, namely for the following parameters:</p> <p>a. Response times - time of response to a user operation / query should not exceed one second, excepting the report generation and complex data analysis scenarios which will not exceed 15-25 seconds;</p>	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
	<ul style="list-style-type: none"> b. Number of concurrent users - it is expected that the application should manage easily up to maximum of 10 concurrent sessions; c. Data volumes - in the initial stage the expected amount of data to be processed is about 50 million records per year. On average, each data record will have at least 20-25 data facts (columns); d. Data increments over time - it is expected that the increments for data volumes for data sources will double each 4 years; e. Number of transactions to be processed within given time - it is estimated a number of 50 to 250,000 records to be imported and processed from different data sources daily; f. Deadline for processing data for previous day – the processing of data for previous day should be done within the night window allocated for the application (max. 8 hours). 			
NF 5.02	Please provide a minimum hardware (VM configuration, storage, network requirements etc.) and software configuration for the host system that will be required to meet the performance requirements mentioned above. In addition, please state the minimum requirements for the client systems (PC's).	Mandatory		
6. Licensing				
NF 6.01	Bidder will describe the tendered licensing model, giving details on why the proposed model is the best for NBM needs and will display a comparative chart of licensing models the Bidder is usually tendering.	Mandatory		
NF 6.02	Bidder will provide a break-down of the proposed licensing model (e.g. by modules, by user/group of users/server/processor – as applicable).	Mandatory		
NF 6.03	When calculating the number of licenses, the Bidder should consider the following situation. NBM will maintain the test environment even after going into production, for development and testing purposes. The Bidder will take into account such situation, and if additional licenses are needed, a separate line into TCO file will be included (Test Environment licenses) and associated costs will be shown for 2 users.	Mandatory		
NF 6.04	All delivered software licenses should include the price for one year of support and maintenance, provided by license's manufacturer, which will start from the final acceptance date. In case of earlier activation of licenses, all the costs for	Mandatory		

ID	Requirement	Importance	YES / NO / (NA) Not applicable	Detailed explanation
	support and maintenance services, provided by license's manufacturer during the implementation stage, will be supported by the Bidder.			
NF 6.05	Bidder will provide the optimal licensing model considering the following facts: <ul style="list-style-type: none"> a. It is expected a total number of 18 users: from which at least 8 analysts and up to 8 different users with access to reports, search and data visualization. b. 2 users with administrative privileges for solution and user management and solution customization. 	Mandatory		
NF 6.06	Financial Proposal should include all costs related to solution licenses.	Mandatory		

Attachment 5. Response(s) to Implementation Requirements

Your response to Implementation Requirements should refer to the following table, explaining how the proposed Software Solution will address each requirement. The shaded cells indicate that you are not required to provide a response to that particular item. Nonetheless, if you want to provide additional comments or suggestions, you may do so according to your own professional judgment, methods, implementation standards etc.

ID	Requirements	Detailed explanation
1. Analysis and Design		
IS 1.01	<p>Phase objectives:</p> <ol style="list-style-type: none"> 1. The purpose of this phase is to create common understanding of the target solution, explain the priorities within review them against the chosen solution and to create detailed software requirements specification and acceptance criteria of the solution. This section should ensure a common understanding of the processes, requirements and major gaps in the chosen solution in order to implement a solution that meets the expectations of the NBM. 2. It is expected, that this phase will build upon designed processes and requirement specifications proposed by this RFP and on the proposal of the Bidders, which will identify to which extent the target solution will cover the requirements within out of the box functionality and which will require customization/custom development of the target solution. 3. The Bidder should translate functional requirements into a workable design (functional specification), support the analysis by delivering prototypes of designed features and should prepare the necessary environment for the configuration of the solution. 4. The Bidder should describe the methodology and instruments used for analysis and design phase and should provide sample of deliverables. 	
IS 1.02	<p>Main activities:</p> <ol style="list-style-type: none"> 1. NBM will present thoroughly current and future requirements regarding the project scope. 2. NBM will present processes inside the scope of the project. 3. For each part of the designed process and requirements the Bidder will demonstrate vanilla version of the solution and explain the way how the system works. For all core functionalities, Bidder will prepare prototyped screens adjusted to NBM requirements. 	

ID	Requirements	Detailed explanation
	<ol style="list-style-type: none"> 4. All gaps identified during the RFP will be reviewed in detail and adequate solution will be proposed by the Bidder. 5. NBM will present the data sources together with data samples to be integrated into the solution's data model. Based on this, the Bidder will review the changes to be made in the data model, will define the data quality assurance strategy / model and will propose the solution. 6. Analyze the information about users and their roles. 7. Review the existing IT and network technical infrastructure and develop proposals / recommendations for architecture and related infrastructure of the Solution, considering keeping under control the complexity of IT infrastructure and reusability of existing resources. 8. Define and produce a functional specification that would meet the requirements, given the functional and technical constraints imposed. 9. Document design specifications for solution functionalities based on the software requirements specification (including the link of them to keep clear traceability). 10. Document detailed specifications of the solution (e.g. interaction interfaces and diagrams (Data Flow Diagrams), Use Cases, retrieval scenario, validation scenario, data uploading scenario, analysis scenario etc.). 11. Document test strategy and test analysis in connection to the acceptance criteria and functional specification. 12. Establish the applicable configuration parameters. 13. Define the specifications for customization, configuration and integration with other sources of data/applications. 	
IS 1.03	<p>Deliverables: At the end of this phase, the following will be delivered:</p> <ol style="list-style-type: none"> 1. Document on the detailed functional specification of the solution, which should cover both technical and functional aspects. From a technical standpoint, the deliverable should document the solution architecture (applications/tools, model integration of these, data model, interfaces and interaction diagrams, security etc.), and technology platform agreed and signed by both parties. The document should include the following information: <ol style="list-style-type: none"> a. solution overview (diagrams that provide an overview of the solution architecture accompanied by a narrative description); 	

ID	Requirements	Detailed explanation
	<ul style="list-style-type: none"> b. integration platform of solution components, interfaces (the name that will be integrated with the solution, the type of interface (e.g., supplier, consumer, symmetric), solution and the impact of the failure of the interfaces); c. solution architecture attributes (software and hardware technologies, services, components, portability, capacity, availability and reliability, scalability); d. data architecture (context diagrams, logical data model); e. security architecture (overview of security solution); f. other aspects. <ul style="list-style-type: none"> 2. Document on solution configuration/setting up, which will document in detail all the parameters set for all components of the solution. 3. Document High Level Test Plan and test analysis that will link to and cover all above mentioned specifications. 4. Other documents according to the best-practice and delivery methodology of the Bidder. 	
2. Build phase		
IS 2.01	<p>Phase objectives</p> <p>The purpose of this phase is to transpose functional requirements into application functionalities by applying the agreed solutions in analysis and design phase.</p>	
IS 2.02	<p>Main activities</p> <ul style="list-style-type: none"> 1. Install the production and test environments (OS/DB/apps). 2. Implement customization, integration and configuration of the solution, according to specifications of the deliverables accepted at design phase. 3. Produce the blueprint for the logical and physical architecture of the application and database servers. 4. The Bidder should describe the methodology and instruments used for build phase and should provide sample of deliverables. 5. Test analysis is further detailed – complete set of test scripts is elaborated and finalized. 	
IS 2.03	<p>Deliverables</p> <ul style="list-style-type: none"> 1. Solution, configured and installed in: <ul style="list-style-type: none"> a. Production Environment b. Test environment 	

ID	Requirements	Detailed explanation
	<ol style="list-style-type: none"> 2. Solution should meet the requirements agreed in the above chapters and that should include: <ol style="list-style-type: none"> a. Functional and non-functional requirements provided in the analysis document; b. Validation rules, workflows, analysis scenarios, reports provided in the analysis document; c. Interfaces specified in the analysis document; d. Security (user rights, other security configurations); e. Documentation provided as per NBM request; 3. Solution architecture document updated as necessary. 	
3. Testing phase		
IS 3.01	<p>Phase objectives:</p> <ol style="list-style-type: none"> 1. The purpose of this phase is to test the quality of all the functional and technical elements of the solution. During this phase, the Bidder should establish the testing method and should prepare testing scripts for all testing activities that will cover the entire software development and implementation lifecycle. 2. The Bidder should include the proposed approach and methodology for testing in the technical proposal, which will cover at least the scope, approach, resources, tools, sample of deliverables and schedule of the testing activities. The proposed testing approach should be validated/ agreed with the NBM at project initiation phase. The Bidder should indicate in its technical proposal the software instruments that will be used in order to track and monitor the potential open tickets for defects repair. It is obvious must that NBM representatives need to have access to this application. 3. The Bidder is also advised that for non-functional requirements testing, where applicable (e.g., performance testing, stress testing etc.), an automated test solution, or test scripts should be provided to the NBM. In case test results are poor (high rate of “failed” tests, more than 3 failed tests per functionality/application module), the entire module should be considered “unaccepted” and sent back for testing purposes. 	
IS 3.02	<p>Main activities:</p> <ol style="list-style-type: none"> 1. Testing should be performed according to BS-7925 or similar, and the test activities covered should include: test planning, test specifications, test execution, recording of results, checking for test completion. 	

ID	Requirements	Detailed explanation
	<ol style="list-style-type: none"> 2. All testing to be performed should be appropriately planned, prior to being executed. 3. The Bidder should be responsible for documenting and delivering system tests scenarios with logs and results, as a prerequisite for the NBM acceptance process. During system testing, the NBM testing team should participate as an observer (if applicable and/or possible). 4. User Acceptance Testing (UAT) should be the final stage of testing. NBM, with the Bidder's support, should perform this activity and the main objective is to ensure that the final system matches the original requirements defined by the business. NBM may choose to do any tests it needs, based on the usual business process. Testing should be carried out based on users' requirements. It should be performed under the responsibility of NBM to enable their determination as to whether accept the system software or not. 5. The Bidder should support NBM in UAT efforts to help identify problems and communicate them to the relevant team(s) for resolution. 6. The Bidder should ensure the necessary services for all testing activities that will cover at least: <ol style="list-style-type: none"> g. Prepare UAT documentation/ test scenarios, which should be revised by the NBM and business consultants. After the NBM validates the test scenarios, these documents can be used for testing purposes. h. Agree acceptance criteria and testing strategy. i. Conduct acceptance test. j. Documentation of the testing results. k. Agree the issue list by categories. l. Agree the action plan for solving the issues. 	
IS 3.03	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. Acceptance test plan agreed and 'signed-off' by both parties. 2. UAT documentation/ test scripts and scenarios agreed and 'signed-off' by both parties. 3. Test results documents. 	
4. Training		
IS 4.01	<p>Phase objectives:</p> <p>The purpose of this phase is to deliver a comprehensive training plan.</p>	

ID	Requirements	Detailed explanation
IS 4.02	<p>Main activities:</p> <ol style="list-style-type: none"> 1. The Bidder should conduct staff training to ensure an adequate level of knowledge and skills to use and manage efficiently the solution. 2. The Bidder should conduct training sessions for the administration and maintenance and also for development teams designated by the Beneficiary to ensure a proper level of knowledge and skills as to be able to efficiently use the development tools available within the solution and to design and develop individually new scenarios for data source integrations, validation rules, data model, reports, screen forms etc. 3. The Bidder should develop and agree with the Beneficiary the following elements of the training component: <ol style="list-style-type: none"> d. Bidder's strategy on training and tutoring; e. Structure and content of the training course and manual for each user category. f. Methodology and tools for assessing and controlling the efficiency and sufficiency of training sessions 	
IS 4.03	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. The training course should consist of different types of training, such as: <ol style="list-style-type: none"> f. training courses; g. presentations; h. workshops; i. self-learning materials or remote training; and, j. individual consultations. 2. The Deliverables of training sessions should comprise: <ol style="list-style-type: none"> a. the training plan; b. manual of the courses; c. testing and assessing questioners; and, d. the registry for assessing the knowledge and personnel satisfaction. 	
5. Go-live and final acceptance		
IS 5.01	<p>System operation in the production environment and final acceptance should be made according to the following scheme:</p> <ol style="list-style-type: none"> 1. Go-live preparation phase; 2. Soak period; 3. Final acceptance. 	

ID	Requirements	Detailed explanation
<i>5.1 Go-live preparation phase</i>		
IS 5.02	<p>Phase objectives: The purpose of this phase is to facilitate the decision-making process in regard with launching the solution into production.</p>	
IS 5.03	<p>Main activities:</p> <ol style="list-style-type: none"> 1. Review and assess readiness from multiple perspectives: <ol style="list-style-type: none"> a. IT readiness criteria: <ol style="list-style-type: none"> i. production system fully delivered and functional; ii. configuration document and design specification written and a handover made to the future Service Manager of the software; iii. User manual and Admin manual for the application delivered; iv. maintenance process agreed; v. technical training delivered; vi. no critical defects present after moving into productive environment, unless they are known and approved by the Beneficiary; b. Business readiness criteria: <ol style="list-style-type: none"> i. all functionalities required are present in the application; ii. no critical or high defects present; maximum of 15 medium and 30 low defects are acceptable; iii. reports are running and generating the correct output; iv. the data loss possible if the application crashes is not exceeding the RPO; v. help mechanisms for users are available; vi. user rights implemented according to the specifications; vii. user training performed. 2. Remediation Plan for defects is developed (defect list may contain defects with severity level 3 and 4). 3. The Bidder should describe the methodology and instruments used for go-live preparation phase and should provide sample of deliverables. 	
IS 5.04	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. The solution is ready for launching into production (the solution was installed on production environment; testing was performed and no severity 1 and 2 defects were found). 2. Remediation plan for defects. 	

ID	Requirements	Detailed explanation
	3. Bidder's self-assessment report of business and technical requirements (this document should cover at least the following information: requirement identifier, solutions associated with the requirement, % of requirement coverage in the application).	
<i>5.2 Soak period</i>		
IS 5.05	<p>Phase objectives:</p> <ol style="list-style-type: none"> 1. The purpose of this phase is to extensively test solution behavior in daily operation to determine whether the solution meets the required qualities of capacity and stability. 2. This phase should be performed during a minimum period of 20 business days. 3. During this phase, the NBM should draft its own self-assessment report, which will be compared with that provided by the Bidder at the end of Go-live phase. 4. In case significant discrepancies are found (between NBM's self-assessment and Bidder's self-assessment), NBM reserves that right to ask the Bidder to fix or improve the coverage degree of certain business & technical requirements. 	
IS 5.06	<p>Main activities:</p> <ol style="list-style-type: none"> 1. Provide extensive offsite and if needed onsite support during the entire soak period for bug fixes and performance issues: log inspection and analysis/ problem prevention/ fine tuning. 2. For defects identified during soak period, a remediation plan should be agreed. 3. Solving of defects identified in remediation plan approved prior to go-live phase and also identified during soak period. 4. Providing assistance (help desk support) for end users. 5. Assistance for active monitoring of system's parameters. 6. If needed, the Bidder should provide any additional configuration or customization required in the solution, in order to comply with the formal set of requirements. 7. If needed, the Bidder should provide improvement works for system performance with regard to its accessibility and efficiency. 8. The Bidder should assist the Beneficiary in system administration/management. During the soak period, the Bidder should ensure full transfer of knowledge to the Beneficiary for proper system administration/management. 9. The Bidder should assist the Beneficiary in providing I and II-line support to the internal users of the Beneficiary and the reporting entities. 	

ID	Requirements	Detailed explanation
IS 5.07	Deliverables: <ol style="list-style-type: none"> 1. Remediation plan fully executed and all defects removed. 2. Status on remediation plan for defects occurred prior to and during soak period (weekly reports). 	
IS 5.08	Acceptance criteria: <ol style="list-style-type: none"> 1. All defects included in remediation plans are fully removed. 2. No major bugs identified during soak period. 3. No discrepancies found between NBM's self-assessment report and Bidder's self-assessment report. In case discrepancies found, these should be removed prior to final acceptance of soak period. 4. An acceptance report should be signed by both parties within the agreed time period. 	
<i>5.3 Final acceptance</i>		
IS 5.09	Phase objectives: <ol style="list-style-type: none"> 1. The purpose of this phase is to formalize the complete delivery of system functionalities, documentation and services. 2. Such acceptance should be signed after formally closing the soak period for the solution. 3. After this final acceptance, the NBM should approve the final instalment payment and the contract of guarantee will become active. 	
IS 5.10	Main activities: <ol style="list-style-type: none"> 1. Review and assess the criteria defined below for final acceptance of the solution. 2. Criteria list for solution final acceptance is provided below. NBM should align and detail together with the Bidder the acceptance criteria at project initiation stage. <ol style="list-style-type: none"> a. Documentation/ deliverables for analysis and design phase provided and accepted by the NBM; b. Documentation/ deliverables for build phase provided and accepted by the NBM; c. Documentation/ deliverables for test phase provided and accepted by the NBM; d. Documentation/ deliverables for soak phase provided and accepted by the NBM; e. Documentation/ deliverables for training phase provided and accepted by the NBM; 	

ID	Requirements	Detailed explanation						
	<p>f. Criteria list for general acceptance is provided below. NBM should align and detail together with the Bidder the acceptance criteria at project initiation stage:</p> <ol style="list-style-type: none"> 3. All above-mentioned documentation & deliverables are updated and fully provided by the Bidder. 4. The Beneficiary should analyze the documents and deliverables submitted by the Bidder in order to acknowledge the quality requirements. 5. Services included in the tender were fully executed by the Bidder. 							
IS 5.11	<p>Deliverables: Criteria list revised and agreed by both parties.</p>							
6. Minimal acceptance criteria and Solution Documentation								
IS 6.01	<p>Phase objectives: The acceptance criteria should be revised and agreed with the NBM at the beginning of the initiation stage. The below mentioned criteria are minimal and should not be subject of elimination.</p> <ol style="list-style-type: none"> 1. The deliverables of each phase should be provided to the NBM as in accordance with the Work Plan which will also take into account the time needed for the beneficiary and Bidder to review and coordinate the deliverables. 2. Deliverables meet the NBM expectations and requirements in terms of clarity, level of detail, structure, content etc. 3. Deliverables are aligned with internal standards of the Bidder and best practices. 4. Deliverables are easy to use and understandable to the intended beneficiaries. 5. Deliverables are aligned with quality standards agreed between the NBM and the Bidder. 6. Acceptance documentations for each phase are formally approved by the Parties. 							
IS 6.02	<p>Main activities: For the testing phase, additional minimal acceptance criteria to be included are:</p> <ol style="list-style-type: none"> 1. All tests should be completed without severity levels 1 or 2. The severity of the problems found should be defined according to the criteria below: <table border="1" data-bbox="384 1255 1260 1388"> <thead> <tr> <th data-bbox="384 1255 462 1287">No.</th> <th data-bbox="462 1255 640 1287">Severity</th> <th data-bbox="640 1255 1260 1287">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="384 1287 462 1388">1</td> <td data-bbox="462 1287 640 1388">Critical (fatal problem)</td> <td data-bbox="640 1287 1260 1388">Core functions fail completely and constantly or are missing. Complete and continuous central system failure.</td> </tr> </tbody> </table>	No.	Severity	Description	1	Critical (fatal problem)	Core functions fail completely and constantly or are missing. Complete and continuous central system failure.	
No.	Severity	Description						
1	Critical (fatal problem)	Core functions fail completely and constantly or are missing. Complete and continuous central system failure.						

ID	Requirements			Detailed explanation
	2	High (serious problem)	Vital or critical functionality for the intended use is missing or failing continuously or repeatedly. Vital or critical functionality for the intended use cannot be activated or fails continuously.	
3	Medium (general problem)	Important but non-critical or vital for the intended use system functionality is completely missing or failing continuously or repeatedly.		
4	Low (minor problem)	Certain functions are missing or failing. System works correct but esthetical problems occur. Certain functions work but not completely correct.		
<ol style="list-style-type: none"> 2. Issues with severity level 1 and 2 should require immediate bug fixing, and it should be mandatory for testing process to be continued. 3. Testing process should consist of as many test cycles as necessary until all severity 1 and 2 is-sues will be eliminated. After a Severity 1 or 2 problems will be fixed, it is for the NBM testing team to decide whether test cycle will be restarted or continued. 4. The number of outstanding defects is below an acceptable upper limit (to be agreed before the acceptance phase) or the faults are minor. 				
IS 6.03	<p>Deliverables: As deliverables of the project, the Bidder should provide at a minimum the following documentation:</p> <ol style="list-style-type: none"> 1. User instructions and users guide: this document should provide sufficient details, understandable by end users regarding functionalities, operations. The document should describe the steps and actions to be performed in application and also print screens should be included, tips & trick, FAQ etc. The purpose of the document is to represent a basis for learning process and also a reference point for users in case information about operating applications is needed. The user guide should be provided in Romanian or English. 2. System operating instructions – work instructions: <ol style="list-style-type: none"> a. Maintenance instructions/service management troubleshooting guide: this document should include all known errors and solutions associated and should provide sufficient technical details in order to correct potential errors. 			

ID	Requirements	Detailed explanation
	<ul style="list-style-type: none"> b. Installation manuals, including system modifications at the level of application and database. The document should cover installation requirements, installation steps and parameters setup for the NBM, post installation tasks, tips & trick, FAQ. c. Documentation relating to application administrators should cover roles, tasks (e.g., back-up, tuning, patching), utilities, logging, tools for developers etc. d. Documentation relating to application customization/development (conditions and methodology for solution customization by the NBM). e. Archive & retrieval processes and related documentation. f. Documentation relating to security, covering access control, user management, auditing and monitoring, security reports. g. Documentation relating to system configuration – customized installation guide (if this information is not covered by item 2.b above). <p>3. Commented source code for all developments and customizations carried out during the project period (e.g., for scripts).</p> <p>4. Documentation relating to end users and technical trainings - support materials for end user and technical trainings.</p>	

Attachment 6. Response(s) to Project Management Requirements

Your response to Project Management Requirements should refer to the following table, explaining how the proposed Software Solution will address each requirement. Response(s) to this table should be consistent with the rest of the Technical Proposal. The shaded cells indicate that you are not required to provide a response to that particular item. Nonetheless, if you want to provide additional comments or suggestions, you may do so according to your own professional judgment, methods, implementation standards etc.

ID	Requirements	Detailed Explanation
1. General project management requirements		
PM 1.01	The goal of project management is to provide the necessary skills for project organizing and management to successfully achieve the set objectives. During the project life cycle there should be assured efficient resource planning and allocation, progress control during each stage, quality monitoring and evaluation of the deliverables etc.	
PM 1.02	The Bidder is responsible for implementation project management, as well as for execution of activities and Work Plan mutually agreed with the Beneficiary. The jointly agreed Work Plan will include the necessary activities and deliverables review and coordination process within an agreed timeframe.	
PM 1.03	The Bidder is responsible for identifying and mobilizing the adequate resources to execute the Work Plan activities in its responsibility, at the agreed quality level.	
PM 1.04	The Beneficiary is responsible for all procedural and administrative matters relating to the launching, contracting and financial management of the project (including payments) related to project implementation activities and for technical implementation.	
PM 1.05	A well-known project management methodology or standards (e.g., PRINCE2, PMBOK etc.), or an internal developed methodology, based on these standards or methodologies, should be used for the implementation project and should be appointed specifically.	
PM 1.06	The minimum number of key Professional Staff is presented in Section 8 and Section 10, Attachment 8. In order to organize the project, the Bidder should appoint a Project Manager, who will be heading the project team.	

ID	Requirements	Detailed Explanation
PM 1.07	A detailed project organizational chart, covering the key roles and the potential additional roles identified by Bidder should be provided as part of the Initial Project Management Plan included in the Technical Proposal.	
PM 1.08	The Project Manager of the Bidder has the authority and responsibility to coordinate and implement the project so that the objectives are met. Its primary responsibility is to ensure that all required deliverables are timely presented and meet the established quality standards.	
PM 1.09	The Project Manager of the Bidder should ensure a proper management of project risks, quality and progress control of deliverables at every stage of the project. It will also be provided a control of interdependencies between the project components to minimize any risk of project stagnation.	
PM 1.10	The Project Manager of the Bidder should ensure an effective communication within the project, through progress reports with a weekly frequency as well as, end phase report toward Project Manager of the Beneficiary and with a monthly frequency/or if necessary, more often, toward Steering Committee of the Beneficiary. Simultaneously, the Bidder should provide an adequate level of transparency in project management through adequate documentation of all project management aspects.	
PM 1.11	The Bidder's Project Manager has the authority and responsibility to manage the day-to-day activities of the project.	
PM 1.12	The Project Manager of the Beneficiary has the role to organize the Beneficiary's resources so that they are useful to the project and available as needed to the Work Plan. The Project Manager of the Beneficiary should provide an official interface of communication of daily issues and of reporting regarding project progress between the Project Manager of the Bidder and Beneficiary.	
PM 1.13	Other key proposed staff members may be appointed as Team Leaders by the Bidder, having the role of an intermediary in the communication and control process. The Beneficiary should appoint one or more members of those teams made by the Bidder. This will facilitate communication between the parties and will minimize official contact points between the teams. The primary responsibility of a Team Leader is to ensure the achievement of deliverables under the conditions set by the Project Manager of the Bidder.	

ID	Requirements	Detailed Explanation
PM 1.14	The Bidder should ensure timely resolution of identified issues related to its direct responsibility and should include in its proposal a description of the mechanism of escalation/resolution of identified issues.	
2. Activities and deliverables requirements		
PM 2.01	<p>Main activities:</p> <ol style="list-style-type: none"> 1. Provide an initial project management plan covering at least the following initial items: Work Plan (phases, milestones, duration, responsibilities etc.), quality management plan, risk management plan, resource management plan, change management plan, communication plan and samples of reports. 2. Adjust the initial project management plan, based on an agreement with the NBM. 3. Adjust the project management plan on a need base during the project timeframe, based on an agreement with the NBM. 4. Organize the kick-off meeting and the project meetings (e.g., Steering Committee meetings etc.) together with the NBM. 5. Execute and monitor the project and provide weekly, monthly and end phase project related reports in a format agreed by the parties. 6. Close the major project phases and provide the draft of the acceptance documents to the NBM prior to formal acceptance. 	
PM 2.02	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. Initial project management plan. The detailed requirements for the project management plan are listed below (PM 3.01). 2. Updated project management plan. 3. Support presentation for the kick-off meeting and for other project management meetings, such as Steering Committee presentations. 4. Weekly reporting should comprise a report on the status of the project (including decisions that need to be taken at project management and/or Steering Committee level), list of issues to be discussed, risk register, changes register. The Bidder should include in its proposal the models for each of these reporting items. The weekly reports should comprise at least the followings: date, reporting period, implementation schedule status, performed activities, completed deliverables, identified issues and risks, deliverables to be completed during the next reporting period, changes and their impact analysis. 	

ID	Requirements	Detailed Explanation
	<ol style="list-style-type: none"> 5. Monthly reporting should comprise a report to Steering Committee and should contain the following: the overall picture of the project progress over the management period, the overall picture of the Work Plan for the next period, the risk analysis, the state of the problems and their impact etc. 6. End of phase reports should contain the followings: overview of the completed phase, overview of the Work Plan for the next period, risk analysis, state of project issues, project quality register. 7. Exception Reports should contain the following information: description of the causes of deviations, the impact of deviations, proposed problem-solving options and their impact on the general tolerances of the project, recommended option by the Project Manager of the Bidder. 	
PM 2.03	<p>Acceptance criteria:</p> <ol style="list-style-type: none"> 1. The deliverables are provided to the NBM. 2. NBM has no objections regarding the completeness and correctness of the document in accordance with quality and other agreed criteria. 	
3. Project management plan requirements		
PM 3.01	<p>The Bidder should submit as part of its proposal the initial version of the Initial Project Management Plan. The Plan should include the following sections:</p> <ol style="list-style-type: none"> a. <i>Project Management Approach:</i> <ol style="list-style-type: none"> i. General management approach (methodology and tools used, own team or subcontracting etc.); ii. Project deliverables and other expected results; iii. Constraints; and iv. Key success factors b. <i>Project organizational chart:</i> organizational chart c. <i>Major deliverables description</i> <ol style="list-style-type: none"> i. The deliverables description should cover: deliverable name and / or code, goal, content, format and presentation, person responsible for delivery, quality criteria for the deliverable and the how the quality will be tested by the responsible person, resources required for testing the quality of the deliverable. 	

ID	Requirements	Detailed Explanation
	<ul style="list-style-type: none"> ii. The presented quality criteria should not be ambiguous and should be measurable. iii. Criteria for deliverables approval should be as follows <ul style="list-style-type: none"> - Compliance with requirements set for the deliverable. - The extent to which responds to the objectives of the project. - Performance indicators, as appropriate. d. <i>Quality management plan</i> <ul style="list-style-type: none"> i. The quality management plan should include <ul style="list-style-type: none"> - Responsibilities for quality assurance. - Reference to the standards to be met. - Identifying the key quality criteria to be achieved. - Control and audit methods for certifying the quality of project management deliverables and those technically specialized. - Other tools for quality assurance. ii. In order to record the quality controls to be made on deliverables, the Bidder should keep a Quality Register, which should contain the followings: deliverable, quality control method, results of verification, corrective activities, planned date and actual date of approval. e. <i>Resource management plan</i> <ul style="list-style-type: none"> i. The resource management plan should include for each proposed activity the resources (expressed in man-days) expected to be allocated by the Bidder, on-site and off-site, and number of persons by categories to be allocated, describing the functions and duties of each team member of the Bidder and the estimated workload for each task for each staff category. ii. The resource management plan should include for each proposed activity the necessary resources to be allotted by the Beneficiary, describing the functions 	

ID	Requirements	Detailed Explanation
	<p>and duties of each team member of the Beneficiary and the estimated workload for each task for each staff category.</p> <p><i>f. Change management plan</i></p> <ul style="list-style-type: none"> <i>i.</i> Change management plan should treat the situations that might appear due to scope change, including scope extension, using the resources reserved for this purpose, or when the Bidder will propose solutions to individual requirements that NBM does not believe are satisfactory. Any such NBM reservation should be announced to Bidder and be subject to the governance and escalation process, according to the rules of change control. For this purpose: <i>ii.</i> The Bidder should provide a change process map and should describe the process - the steps, roles involved and templates to be used, including the mechanism of identifying/ monitoring/ reporting/ approving/ rejecting change requests, responsibilities and escalation procedure. <i>iii.</i> The Bidder should also include an impact analysis in the change process. <i>iv.</i> The Bidder should provide an example of change requests register. <p><i>g. Communication plan</i></p> <ul style="list-style-type: none"> <i>i.</i> The communication plan refers to the interactions between the Beneficiary's Project Manager, the Bidder's Project Manager and other project stakeholders. <i>ii.</i> The communication plan should comprise: <ul style="list-style-type: none"> - identifying the project stakeholders - information needed for each group of stakeholders - information source - frequency of communication - content of the communication 	

ID	Requirements	Detailed Explanation
	<ul style="list-style-type: none"> - persons responsible for the development and transmission of communications <i>h. Project controlling and monitoring mechanism</i> <ul style="list-style-type: none"> <i>i.</i> Description of the way the project monitoring & controlling will be performed during the project (e.g., Reporting mechanisms – weekly and monthly, end of phase, in exceptional circumstances. <i>ii.</i> Description of weekly/monthly reporting model. <i>iii.</i> The procedure for handling project deviations and exceptions. <i>iv.</i> Contingency plans. <i>i. Approval plan:</i> should present in a condensed form each type of deliverable and the way this deliverable is approved. <i>j. Project library:</i> description of how the project documents and deliverables will be stored, found and retrieved. <i>k. Annexes:</i> should present models of documents representing each step of project management (minutes, examples of registers, questionnaires, weekly, monthly and end phase reports). 	

Attachment 7. Response(s) to Post Implementation Requirements

Your response to Post Implementation Requirements should refer to the following table, explaining how the proposed Software Solution will address each requirement. Please comment on how you will deliver MnS 1 through MnS 7.

ID	Requirements	Detailed Explanation															
MnS 1	As part of the initial contract for the delivery and implementation of the solution, the Bidder should provide a warranty period, which involves the provision of support services and maintenance services for a period of 12 months from the date of final acceptance of the solution, including 500 man-hours for change requests.																
MnS 2	<p>Maintenance and support services should be provided on basis of a Service Level Agreement, which should be attached to the contract signed between the Parties. The agreement should establish the post-implementation maintenance and support services level, based on the following minimal requirements:</p> <ul style="list-style-type: none"> a. Support days: 5 business days per week d. Support hours: 09:30-15:00, UTC+2 (Chisinau local time) e. Response Time (RT) and Solving time: <table border="1" style="margin-left: 40px;"> <thead> <tr> <th style="background-color: #cccccc;">Classification of the NBM request*</th> <th style="background-color: #cccccc;">Response Time (RT)</th> <th style="background-color: #cccccc;">Solving Time (ST)</th> </tr> </thead> <tbody> <tr> <td><i>Critical</i></td> <td>3h</td> <td>6 h</td> </tr> <tr> <td><i>High</i></td> <td>5 h</td> <td>1.5 days</td> </tr> <tr> <td><i>Ordinary</i></td> <td>1 day</td> <td>4 days</td> </tr> <tr> <td><i>Low</i></td> <td>3 days</td> <td>The best effort</td> </tr> </tbody> </table> <p>* NBM requests for post-implementation maintenance and support services are classified in terms of their importance for the NBM. The importance for the NBM is estimated by the impact (inflicted or potential) of the event that has created the need for the request on the quality parameters of the solution operation.</p>	Classification of the NBM request*	Response Time (RT)	Solving Time (ST)	<i>Critical</i>	3h	6 h	<i>High</i>	5 h	1.5 days	<i>Ordinary</i>	1 day	4 days	<i>Low</i>	3 days	The best effort	
Classification of the NBM request*	Response Time (RT)	Solving Time (ST)															
<i>Critical</i>	3h	6 h															
<i>High</i>	5 h	1.5 days															
<i>Ordinary</i>	1 day	4 days															
<i>Low</i>	3 days	The best effort															
MnS 3	The Bidder should have a customer support center where all requests from the NBM will be directed to. The work program and organization of the Support Centre should ensure post-implementation maintenance and support services at the level established in these tender documents.																

ID	Requirements	Detailed Explanation
MnS 4	The Support Centre should be contacted at least by the following means: e-mail, phone, web etc.	
MnS 5	Maintenance and support services should be provided remotely.	
MnS 6	For the provision of post-implementation maintenance and support services, the Bidder should provide NBM with access to a ticketing solution, available through the Internet. The ticketing system should be properly secured. All interactions between the Bidder and the NBM while providing post-implementation maintenance and support services should all be carried out by means of the respective platform.	
MnS 7	NBM expects that the proposal for post-implementation maintenance and support services will be based on best practices for Project Management and IT Service Management (e.g., ISO 20000, ITIL).	

Attachment 8. Staffing Plan

Use the template below (Team Composition, Assignments and Qualifications) to describe the role and the responsibility of the staff included in the proposal, also highlighting the relevant experience each member has for the proposed position. For implementing the Software Solution, you should demonstrate you can provide to the Beneficiary a minimum number of key experts as follows:

1. Key expert no. 1 – Project manager
2. Key expert no. 2 – Business analyst/ Business consultant
3. Key expert no. 3 – Technical expert/ Solution architect
4. Key expert no. 4 – Data Analyst/ Data warehouse expert
5. Key expert no. 5 – Test/quality assurance responsible

If you feel the need to add additional resources, you may do so according to your own professional judgment, methods, implementation standards etc. For each of these roles (key experts) one or more persons can be allocated. A person can also cumulate roles, if he/ she meets the criteria for all the envisaged roles and if the workload on the project allows. The quality assurance role has to be specifically allocated to a team member.

Description of Key Experts:

1. **Key expert no. 1 - Project manager:** responsible for effective project management, according to the detailed requirements established in the Section 4. Possession of a certificate, such as Program Manager Professional (PMP), PRINCE2 or equivalent would be an advantage;
 - a. Work experience of at least 10 years in various IT project implementations;
 - b. Experience in a minimum of 2 completed projects in the last 3 years in the role of project manager for the duration of the projects;
 - c. Experience in a minimum of 1 implementation based on offered solution, in the role of project manager for the duration of the project;
 - d. Familiarization with central banks' mission, policies and procedures including bank supervision would be a significant advantage; and,
 - e. Language proficiency in English is required; Working knowledge Romanian would be an advantage.
2. **Key expert no. 2 – Business analyst / business consultant:** responsible for analysis and design of the functional specifications of the solution:
 - a. Work experience of at least 10 years as business analyst /consultant in Know Your Customer, transaction monitoring, risk management, related parties' identification, money laundering and terrorism financing or fraud investigation etc. Any certifications in this area will be considered an advantage;
 - b. Experience in at least 2 implementation projects similar to the solution proposed for the NBM;
 - c. Deep knowledge of the practices and procedures, mechanism and methodologies regarding ML/FT or fraud investigation;
 - d. Familiarization with central bank banking supervision procedures including licensing and shareholder oversight would be a significant advantage.
 - e. Language proficiency in English is required; Working knowledge Romanian would be an advantage.

3. **Key expert no. 3 – Technical expert/ Solution architect:** responsible for defining the technical architecture and components installation/configuration of the solution in accordance with established requirements:
 - a. Work experience of at least 5 years as solution architect;
 - b. Relevant experience in deployment, configuration and customization of the software offered to the NBM;
 - c. Relevant Certification would be an advantage;
 - d. Language proficiency in English is required; Working knowledge Romanian would be an advantage.

4. **Key expert no. 4 – Data analyst/Data warehouse expert:** responsible for analyzing the available data sources, for mapping data between source systems and designing relational and dimensional data models, developing applicable algorithms to apply to data sets (for extraction, transformation, cleansing etc.), developing applicable processes and tools to monitor and analyze model performance and data accuracy etc. The following are the minimum key requirements:
 - a. Work experience of at least 10 years in working with complex data warehousing solutions, ETL tools etc.;
 - b. Relevant experience in analysis and development of complex relational and dimensional data models;
 - c. Relevant Certification would be an advantage;
 - d. Language proficiency in English is required; Working knowledge Romanian would be an advantage.

5. **Key expert no. 5 – Test/quality assurance:** responsible for defining test scenarios and for establishing the detailed quality criteria and quality assurance of deliverables, organization of test process, validation of result for internal tests and those of the Beneficiary, preparation and implementation of plan for remedying deficiencies
 - a. Work experience of at least 10 years in IT;
 - b. Minimum 5 years of experience in test management (scenario definition, testing process coordination, issue solving using relevant tools (e.g., Test Director, Bugzilla, JIRA, etc.) and quality assurance role;
 - c. CTM – Certified Test Manager certification or equivalent will be considered as an advantage;
 - d. Language proficiency in English is required; Working knowledge Romanian would be an advantage.

Team Composition, Assignments, Qualifications and Level of Effort

Name of Staff and Position Assigned	Position Requirements/Tasks/ Responsibilities	Relevant Qualifications and Experience	Level of effort ⁷

⁷ Should correspond to the Cost Proposal

Attachment 9. CV Template

[Name]

[Proposed Position]

[Summary of personnel experience] Mr./Mrs. ...

EDUCATION: [Degree], [Field of Study], [University], [Year Graduated]

PROFESSIONAL EXPERIENCE:

Year [Position], [Project if any], [Company name], [Country]

-

LANGUAGE: [Language][Level]

REFERENCES: [please specify three references]

- [Name], [Position], [Company], [Email], [Phone number]

Section 11. Financial Proposal - Templates

The full Financial Proposal must include all elements listed below. Templates are provided for selected items in the list. A more detailed description of these items is included in [Section 8](#).

1. Financial Proposal Submission Letter ([Attachment 10](#))
2. Budget Narrative – 8 apages
3. Cost Proposal ([Attachment 11](#))
4. Total Cost of Ownership
5. Evidence of Responsibility ([Attachment 12](#))

Attachment 10. Financial Proposal Submission Letter

[*Location, Date*]

To: [*Name and address of Client*]

Dear International Development Group LLC:

We, the undersigned, offer to provide the consulting services for [*Insert title of assignment*] in accordance with your Request for Proposal dated [*Insert Date*] and our Technical Proposal. Our attached Financial Proposal is for the sum of [*Insert amount(s) in words and figures*], all taxes inclusive. It is formed by [*Insert amount(s) in words and figures*] for the year 2020, and [*Insert amount(s) in words and figures*] for the year 2021.

Our Financial Proposal should be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

Name of Bidder: _____

Address: _____

Attachment 11. Cost Proposal

Use the Excel attachment to complete the requested budget. The table below is displayed here for informational purposes only.

Item#	Description	Unit	Quantity	Rate (USD)	Total (USD)
I	Labor				
1.1	ex) Technical Director	ex) Day	ex) 5	ex) \$300	ex) \$1,500
1.2				\$ -	\$ -
1.3				\$ -	\$ -
1.5				\$ -	\$ -
1.6				\$ -	\$ -
1.7				\$ -	\$ -
1.8				\$ -	\$ -
Labor Sub-Total					\$ -
II	Expenses				
2.1	ex) Communication	ex) Per day	ex) 90	ex) \$5	ex) \$450
2.2				\$ -	\$ -
2.3				\$ -	\$ -
2.4				\$ -	\$ -
2.5				\$ -	\$ -
2.6				\$ -	\$ -
2.7				\$ -	\$ -
Expenses Sub-Total					\$ -
Total Estimated Value					\$ -
TOTAL VALUE					\$ -

Attachment 12. Evidence of Responsibility

1. Authorized Negotiators

2. Adequate Financial Resources

[Company Name] has adequate financial resources to perform the contract, or the ability to obtain them. [expand your certification with brief supporting information, as necessary]

- a. Please briefly describe your relationship with your bank, your line of credit, etc. this should be one sentence. Where does your working capital come from?

Also indicate how the company will be able to obtain adequate financial resources to manage the program.

3. Ability to Comply

[Company Name] is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments. [expand your certification with brief supporting information, as necessary]

- b. Briefly describe the systems your company has in place for project management, administration, financing, monitoring, and reporting. These should be a couple of sentences. Briefly describe the systems your company uses to identify and mitigate risk throughout the life of a project. Confirm that your company complies with reporting requirements.
- c. Briefly identify the number of projects completed, the amount, and whether or not there were any cost overruns, and whether task orders were completed on time.

Include a statement that the company is able to comply with the proposed delivery of performance schedule, having taken into consideration all existing business commitments, commercial as well as governmental.

4. Record of Performance, Integrity, and Business Ethics

[Company Name] has a satisfactory performance record in accordance [expand your certification with brief supporting information, as necessary]

- d. Confirm that your company has complied with contract requirements in the past adhered to contract schedules, including the administrative aspects of performance
- e. Confirm your company's record of forecasting and controlling costs
- f. Confirm that your principals have never been debarred or suspended
- g. Explain how the company will work with the client to ensure work quality.

[Company Name] has a satisfactory record of integrity and business ethics. [expand your certification with brief supporting information, as necessary]

- h. Confirm that your company has never been accused of unethical business practices
- i. Reference your completion of the Representations and Certifications document.
- j. Identify your company's code of conduct or code of ethics, and briefly describe its contents

5. Organization, Experience, Accounting and Operational Controls, and Technical Skills

[Company Name] has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them (including, as appropriate, such elements as production control procedures, property control systems, quality assurance measures, and safety programs applicable to materials to be produced or services to be performed by the prospective contractor and subcontractors). [expand your certification with brief supporting information, as necessary]

- k. Identify the number of projects your company has completed as evidence of its experience.
- l. Reference your company's past performance record
- m. Demonstrate that your company has the capacity in accounting and financial capacity to complete the project
- n. Identify the type of accounting software your company uses and justify the selection of this software. Is it secure and equipped to handle government contracts?

6. Equipment and Facilities

[Company Name] has the necessary production, construction, and technical equipment and facilities, or the ability to obtain them. [expand your certification with brief supporting information, as necessary]

- o. Briefly describe your company's building and facility.
- p. Briefly describe your company's Information Technology systems including hardware, software, and internet connectivity.

7. Eligibility to Receive Award

[Company Name] is otherwise qualified and eligible to receive an award under applicable laws and regulations. [expand your certification with brief supporting information, as necessary]

- q. Recertify that neither your company nor any of your principals are presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contract by any Federal agency
- r. Certify that neither your company nor any of its principals have been convicted of or had a civil judgment rendered against them for commission of fraud, or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contractor subcontract
- s. Confirm that neither your company nor any of its principals has been convicted of committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property, and are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses enumerated above.

8. Cognizant Auditor

9. Organization of Firm

With the signature below, [Company Name] certifies that the above statements are accurate, complete, and current.

Signature: _____

Name: _____

Title: _____

Date: _____