



SVERIGES AMBASSAD

Ref. no: UM2017/26312/LUSAKA  
2018-02-22

# The Embassy of Sweden in Lusaka

Invites tenders regarding

## Framework Agreement for Audit Services

The Embassy intends to enter into contract with no more than three (3) auditing companies to assist the Embassy in the following areas:

1. to give the Embassy of Sweden in Lusaka the possibility to undertake different types of auditing and review services
2. to assist the Embassy and counterpart institutions, authorities and organizations in building internal capacity relating to audit activities
3. to assist on an ad-hoc basis in less complicated audit advice that can be given by telephone or e-mail within a day

We look forward to receiving your tender:

**Bids must be delivered to the address below at or before  
10 April 2018 at 16.30 hours**

**Delivery address:**

Embassy of Sweden  
Haile Selassie Avenue  
Lusaka Zambia

**The Embassy of Sweden in Lusaka recommends that the tenderer, as soon as possible after receipt of this invitation, take note of the requirements in this dossier.**

**Some of the requested documentation must be obtained from designated authorities, which can result in a certain time for handling.**

**Note that requirements marked as “must” needs to be part of the tender in order for it to qualify for evaluation.**

**Response (QA) to questions submitted to the Embassy will be posted in English on the website of the Embassy at:**

**<http://www.swedenabroad.com/Lusaka> under Development Cooperation-Procurement of audit framework agreement for audit services - Questions and Answers**



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**Embassy of Sweden  
Lusaka, Zambia**

## INVITATION TO TENDER

### Framework Agreement for Audit Services

You are hereby invited to tender for an assignment according to the enclosed Terms of Reference (ToR), appendix 1, Draft Framework Agreement, appendix 2 and General Conditions, appendix 3.

#### Appendices

Appendix 1	Terms of Reference for Framework Agreement for Audit Services
Appendix 2	Draft Framework Agreement
Appendix 3	General conditions for framework agreements, 2002
Appendix 4	Tenders self-declaration (ESPD) form
Appendix 5	CV (form)
Appendix 6	Previous performed assignment (form)
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## 1 Administrative Conditions

Contracting authority Embassy of Sweden, Lusaka  
Tel: + 260 (0) 211 – 25 11 58

Postal address P.O. Box 50264, Lusaka, Zambia

Contact persons<sup>i</sup> 1. Mats Johansson  
Controller  
E-mail: [Mats.A.Johansson@gov.se](mailto:Mats.A.Johansson@gov.se)

### **Always with copy to:**

2. E-mail: [Bertha.Maembe@gov.se](mailto:Bertha.Maembe@gov.se)

Bertha Maembe  
Controller

3. E-mail: [Chimfwembe.Sichinga@gov.se](mailto:Chimfwembe.Sichinga@gov.se)

Chimfwembe Sichinga  
Controller

Last date to tender **2018-04-10 at 16.30**

Last date to submit questions **2018-03-26 at 8.00**

The tender shall be valid until 120 days from the last date to tender

Address and marking The tender **must** be sealed and addressed to the contracting authority. The envelope **must** be **clearly marked** as stated below:

### **TENDER**

***Audit Services***

**Ref. no.: UM2017/26312/LUSAKA**

### Postal address:

Embassy of Sweden in Lusaka  
Att: Mats Johansson  
P.O. Box 50264, Lusaka, Zambia

### Visiting address:

Haile Selassie Avenue, Lusaka

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<sup>i</sup> It is imperative that any information/questions be addressed to all contact persons.



	<u>Opening Hours:</u>
	Monday – Thursday: 07.45 – 16.45
	Friday: 07.45 – 13.30
	Saturday and Sunday: <i>Closed</i>
Tenders submitted by fax	Not allowed.
Tenders submitted by e-mail	Not allowed.
Procurement procedure	Open
<b><u>CPV-code</u></b>	79212000-3 Audit
	79212100-4 Financial Audit
	79212400-7 Forensic Audit

## 2 General information

### 2.1 Contract value

The Embassy does not guarantee any volume but, based on the use of the previous framework agreement, the estimated number of assignments per year will be around 20, complexity varies. Estimated to an annual amount between 2,000,000 - 4,000,000 SEK.

### 2.2 Framework agreement period

The Embassy aims at concluding the Framework Agreement contracts to apply from 2018-06-01 and remain in force until 2020-05-31, i.e. a period of two years. The contracts may be extended twice with unaltered conditions for a period of twelve months for each extension.

### 2.3 Number of contracts

Contracts will be signed with three (3) tenderers assuming that at least three (3) comply with the requirements stated in this tender dossier.

The process of Call-off from the Framework Agreement is described in 7.7 (Availability), in the Terms of Reference (Appendix 1, point 4) and in Appendix 10.



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## 2.4 Opportunity to divide the procurement into lots

Tenders shall cover the whole procurement.

## 2.5 Reasons for not dividing the contract into lots

The contracting authority decides not to split up the contract up into lots. This tender is regarding all audit professions and can't be split into lots. All suppliers should have competence in all areas of T.o.R, as assignments may be combined with several areas.

## 3 Framework agreement and call-off procedure

### 3.1 Number of framework agreements

Framework agreements will be signed with 3 tenderers.

### 3.2 Call-off order - combined

Call-off from the framework agreement will be done through a combination of fixed ranking and renewed competition. Call-offs below <150 000 SEK shall be done according to a ranked method. Call-offs over >150 000 SEK will be done through renewed competition. The call-off inquiry will then be sent to all suppliers.

## 4 Assessment of the tender

### 4.1 Award of contract

Award of contract will be made to the tender(s) who is the economically most advantageous, on the basis of the following ground:

- The best relation between price and quality

### 4.2 Compulsory requirements

The documents to tender contains a number of compulsory requirements, which are called qualification requirements and/or "must"-requirements. In order for a tender to be evaluated, these compulsory requirements have to be fulfilled

### 4.3 Evaluation of the tenders submitted

The proposals are assessed to make sure they fulfil the must-requirements on the following steps.

Verification of the qualification requirements. A must requirement can either be "fulfilled" or "not fulfilled". Tenders that fulfil all must-requirements



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will proceed to evaluation, whereas tenders that do not fulfil the must-requirements will be rejected.

### Evaluation

The remaining tenders are evaluated according to the evaluation criteria stated in the paragraph "Evaluation of the tender", where also the evaluation criteria are set out and the evaluation method is described.

An additional check is carried out after the evaluation to make sure that the winning tenderer(s) are not in any of the exclusion situations and fulfil the qualification requirements in section 6 exclusion of tenders - ESPD.

## 5 Administrative requirements

### 5.1 Legal framework

This procurement is governed by the terms and regulations of the Public Procurement Act (2016:1145) (LOU)

### 5.2 Tender format and information

The tender and all documentation appended must be drawn up in English and contain the information and documents indicated in this tender documentation. Allowed file-formats are PDF, MS Word, MS Powerpoint and MS Excel. The tender should not be hardbound, fastened together or glued. Loose sheets in an ordinary file or folder are sufficient.

The tender must be submitted in writing and must be signed by an authorized representative of the company or equivalent.

The tender and its attachments must contain all information and documentation requested in this tender dossier.

The complete tender must be submitted in duplicate – one original and one copy. The tender must also contain a digital copy (CD, USB-memory or equivalent) and should be clearly marked with the name of the company and the Embassy's reference number. If the tender versions in these media differ, the paper version shall govern. All appendices should be listed in the tender and be marked with the name of the tenderer and Embassy's reference number.

The tender must contain information of the tenderer's type of organisation, VAT registration number, contact person, telephone, e-mail and postal address.

The tender will be opened and listed on the first day after the closing date for receipt of tender in the presence of at least two officials appointed by the Embassy.





### 5.3 Acceptance of contract terms

Tenderers, in their tender, must confirm their acceptance of the annexed draft contract, including appendices such as the standard conditions and terms of reference.

### 5.4 Period of validity

The tender confirms that the proposal is binding for the 120 days.

### 5.5 Questions and answers regarding the contract documents

During the procurement process, the contracting authority is not permitted to discuss documentation, tenders, evaluation or other such matters with tenderers in a manner which favours or disfavors one or more tenderers.

Questions should be addressed to [mats.a.johansson@gov.se](mailto:mats.a.johansson@gov.se) with copy to [bertha.maembe@gov.se](mailto:bertha.maembe@gov.se) and [chimfwembe.sichinga@gov.se](mailto:chimfwembe.sichinga@gov.se) no later than 14 days before the last date to tender (tender deadline is 10 April).

A compilation of relevant questions and answers will be published at the website of the Embassy and may be updated from time to time. Each tenderer needs to ensure that it reads the answers to the questions, together with any other information, which will be published in English on the website. <http://www.swedenabroad.com/Lusaka> under Development Cooperation-Procurement of audit framework agreement for audit services-Questions and Answers

All tenderers are responsible for ascertaining that they include all information made available on the Embassy website, into their tenders, prior to last date to tender.

### 5.6 Consortium

The definition of an economic operator in this procurement is a tenderer, subcontractor on whose capacity the tenderer intends to rely or a member of a consortium.

The economic operator must, upon request, submit evidence/data that certifies that the economic operator itself or any person who is a member of its administrative, management or supervisory body or has powers of representation, decision or control therein has not been convicted of any



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of the crimes stated in “A: Grounds relating to criminal convictions” in the Invitation to Tender. Also, the economic operator must upon request submit evidence/data that certifies that the exclusion grounds stated in “B: Grounds relating to the payment of taxes or social security contributions” and “C: Grounds relating to insolvency, conflicts of interest or professional misconduct” do not apply to the economic operator.

The economic operator may submit the evidence/data in form of either official document(s) issued by a competent judicial or administrative authority in the country where the economic operator is established or, where the country in question does not issue such documents or certificates, or where these do not cover all the cases specified above, they may be replaced by a declaration on oath or, in countries where there is no provision for declarations on oath, by a solemn declaration made by the person concerned before a competent judicial or administrative authority, a notary or a competent professional or trade body, in the country where the economic operator is established. For an example of such a declaration, see Appendix11 –Declaration.

The economic operator is advised to obtain the evidence/data above since the evidence/data must be submitted upon request without undue delay.

If the economic operator submits evidence/data in another language than English the economic operator must, upon request, provide a translation of the original declaration in English. A tenderer is not required to submit supplementary documentation, if the Embassy already has access to the material or has the opportunity to access the information through electronic means without any cost.

If the economic operator cannot submit evidence/data or declaration of truth, an explanation must be submitted instead. If the contracting authority deems the explanation unsatisfactory, then the economic operator may be excluded from the procurement.

The formation of consortium or joint venture is allowed. In such case the tenderer must submit either,

a tender signed by all partners of the consortium or joint venture and a draft of a consortium or joint venture agreement providing for joint and several liability with reference to the contract including the nomination of the lead firm of the consortium or joint venture,

or

a tender signed by the lead firm and a copy of a consortium or joint venture agreement, signed by all participating parties, providing for joint and several liability with reference to the contract including the nomination of the lead firm of the consortium or joint venture.



### 5.7 Correction of errors and clarifications and supplementation of tenders

Responses by tenderers to requests by The Embassy for corrections of errors, clarifications or supplementation of tenders must be submitted in writing to the contact person indicated above.

Tenderer's response to the contracting authority's request for error correction, clarification or supplementation of tenders, shall upon request be in writing to the specified point of contact.

### 5.8 Notice of award

All tenderers will be notified by e-mail of the winning tenders as soon as possible and not later than ten days after a decision has been made to award the contract.

A notice of award does not mean that a binding contract has been entered into between Embassy and the winning tenderer. A contract is not legally binding until it has been signed by both parties.

Contract will be signed after the standstill period expired, not earlier than 10 days after all tenderers have been notified of the contract award decision.

### 5.9 Conflict of interest

The Consultant shall not have any direct relationship or conflict of interest with the Swedish Embassy. Tenders which do not meet the above requirements will be disqualified as challengeable.

### 5.10 Confidentiality

After the award decision has been made, all tenders are subject to the rules on public access to official documents and confidentiality. This means that, as a general rule, anyone is entitled to gain access to these documents. The tenderer should set out in detail in its tender the information that it considers should be classified as confidential and the reasons for this. However, the Embassy will make the final decision whether this information should be disclosed. An appeal may be made to the administrative court of appeal against a decision not to disclose information in a document regarding a procurement matter. For these reasons, the Embassy cannot guarantee that information in tenders will be dealt with



## 6 Exclusion of tenderers - ESPD

European Single Procurement Document (ESPD) is a self-declaration of the businesses' financial status, abilities and suitability for a public procurement procedure. It is available in all EU languages and used as a preliminary evidence of fulfilment of the conditions required in public procurement procedures across the EU. Thanks to the ESPD, the tenderers no longer have to provide full documentary evidence (also see 6.3) and different forms previously used in the EU procurement, which means a significant simplification of access to cross-border tendering opportunities.

The European Commission provides a free web service for the buyers, bidders and other parties interested in filling in the ESPD electronically. The online form can be filled in, printed and then sent to the buyer together with the rest of the bid. If the procedure is run electronically, the ESPD can be exported, stored and submitted electronically. The ESPD provided in a previous public procurement procedure can be reused as long as the information remains correct. Bidders may be excluded from the procedure or be subject to prosecution if the information in the ESPD is seriously misrepresented, withheld or cannot be complemented with supporting documents.

For more information on ESPD see <http://ec.europa.eu/growth/single-market/public-procurement/e-procurement/espd>. If you are interested in the answers to the most frequently asked questions about the ESPD, please have a look at the FAQ leaflet <http://ec.europa.eu/DocsRoom/documents/17242/attachments/1/translations>.

Tenderers must attach an xml-file created in the EU commission service <https://ec.europa.eu/tools/espd/filter?lang=>. or use the appendix 4, file in and scan the document.

### 6.1 Tenderers' self-declaration

The tenderer shall prove fulfilment of all the requirements by filling in, or reuse previously completed ESPD document on European Commission's website.

If the supplier chooses to use the ESPD-document on the European Commission website, it shall be downloaded and submitted with the tender as an XML or pdf file, see further information in the introductory text of section 6. Note however that, the tenderer is still obliged to check that all the requirements regarding exclusion and qualification of tenderers in the procurement in question have been answered in the attached ESPD document. If this is not the case, the remaining requirements shall be answered in the tender.



## 6.2 Self-declaration of subcontractors on which the tenderer relies and member of consortium

If the tenderer relies on the capacity of other suppliers according to Chapter 14.6 § LOU, the tenderer's declaration shall be accompanied by a special declaration concerning exclusion and qualification as mentioned in Section 6 & 7 (exclusion, company registration, financial position or technical and professional ability) of each of the companies whose capacity is relied upon.

The subcontractor, on whose capacity the tenderer relies shall fill in the self-declaration on the EU commission's website <https://ec.europa.eu/tools/espd/filter?lang=sv> . The declaration shall be submitted with the tender either as an xml or pdf file. or appendix 4.

### 6.2.1 Some practical instructions

Start by selecting language in the upper right corner. The subcontractor identifies itself as an economic operator wanting to create a response. Continue by stating the contracting authority and the relevant procurement (title and reference number). The subcontractor must certify that they are not in any of the exclusion situations and that they meet the selection criteria (qualification requirements) in the following fields: Company registration and financial position. Note that it is the "Overview" button that is used to export the ESPD in xml or pdf file format.

See further information here:

- For more information on the ESDP see <http://ec.europa.eu/growth/single-market/public-procurement/e-procurement/espd/>
- FAQs,

<http://ec.europa.eu/DocsRoom/documents/17242/attachments/1/translations>

## 6.3 Supplementary documentation - Exclusion and qualification

Tenderers shall at the request of Sida, complete their self-declaration according to the Swedish Public Procurement Act (LOU) Chapter 13 §§ 13 (exclusion) and Chapter 14, §§ 15 (qualification) with one or more documents. Such a request shall be made before the authority decides to award a contract.

A supplier is not required to submit supplementary documentation if Embassy already have access to the material or have the opportunity to access the information through electronic means without any cost.



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The requested documentation may, if it's not issued in the tenderer's home country be replaced by a statement that the supplier has left on his honour before a competent body or by a similar declaration.

## 7 Requirements on the Tenderer – Qualification

### 7.1 Check-up of the Tenderer

The tenderer must be a legal entity<sup>ii</sup> or an individual established as a registered company<sup>iii</sup>. The following requirements must be fulfilled.

The tenderer must have fulfilled the required legal obligations regarding registration, social security contributions and other legal charges in the tenderer's home country.

A tenderer must submit the following documents upon request:

- a) a certificate of registration (copy) issued by a competent authority showing the tenderer is registered by a national Registrars of Companies or a Trade Association.
- b) certificate (not older than six months) showing that the tenderer, is registered for declaration and payment of value added tax or a similar sales tax in accordance with the tenderer's national legislation, has declared preliminary taxes for staff and employee contributions, and is free from debts regarding taxes and social security contributions.
- c) If a consortium or a joint venture submits a tender or if a sub-consultant is included in the tender, each individual partner or sub-consultant must provide the required information and documentation.

#### 7.1.1 Financial Position

The tenderer must have a solid financial and economic base. The tenderer's latest approved annual accounts must contain figures showing a liquidity ratio<sup>iv</sup> not less than 1 and a solvency ratio<sup>v</sup> not less than 15 %. The basis of the calculation must be the figures accounted for in the latest year of activity.

In case lower figures than required are shown, or there is a lack of figures, the tenderer may still be regarded as qualified if the tenderer, in his tender,

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<sup>ii</sup> A legal entity refers to a limited or private company (corporation), a limited partnership, a trading company, an economic or non-profit association or foundation.

<sup>iii</sup> A registered company refers to a physical person established as a registered company.

<sup>iv</sup> Liquidity = short term payment ability

Calculations: Current assets/Short term liabilities

<sup>v</sup> Solvency = long term payment ability

Calculations: Shareholders equity +( 0,7 x Untaxed reserves)/Total assets



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can present an explanation showing the tenderer is in a corresponding position of financial and economic stability, for instance a guarantee issued by the parent company.

The tenderer **must**, **upon request** in appendix 13, confirm and submit in the tender, the following:

- a) confirmation that the above mentioned requirements for figures are fulfilled and
- b) if not, provide the required explanation,
- c) confirmation that the latest annual accounts (not older than two years) are approved by the auditors;

The tenderer shall **upon request** submit the latest approved (not older than two years) annual accounts.

If a consortium or a joint venture submits a tender, each individual partner **must** provide the required information or documentation. However, it is not mandatory for sub-consultants to provide the information or documentation.

## 7.2 Capacity and Capability (Consultant firm)

The tenderer **must** be an auditing firm providing authorized public accountants or chartered accountants with competence to perform audits in accordance with international standards issued by IAASB (The International Auditing and Assurance Board).

The tenderer (the firm) **must** have documented resources, knowledge and experience to perform assignment/s within the requested area/s of competence/s.

The tenderer **must** have extensive experience of auditing foreign funded development co-operation projects.

The specification/description below may include all members of a consortium or sub-consultants. The assessment of the tenderer's technical capacity and capability shall include the combined experience.

The tenderer **must**:

- a) present a specification of the assignments the tenderer refers to (Appendix 6). A specification must consist of:
  - scope of work
  - start date and completion date
  - name of client
  - number of staff months provided by the tenderer
- b) present a brief description of the tenderer (facts about the company, competence and capacity, and possibly market position, plans for development or as else considered appropriate by the tenderer);



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- c) present quality assurance system and routines that ensure that audits are implemented according to their terms of reference and are of high quality, as well as of international standards.

### 7.3 Company references

The tenderer **must** enclose at least two references for assignments/projects during the past three year's equivalent to this assignment/service in nature and scope.

- Scope of assignment, for example contract value. number of resources (persons) working on the project, relevant field and competence/services
- Performance period, If the assignment has been finalised (including information of finalisation)
- Output or result of the assignment

Contact information for the reference must be entered:

1. Company/organisation
2. Contact person
3. Telephone number
4. E-mail address

The Embassy will assess the relevance of the submitted reference assignments, if it corresponds to the assignment/services requested in this procurement.

The Embassy also reserves the right to contact submitted references, and assess the reference's perception of the supplier's performance.

### 7.4 Consortium

A consortium consisting of several parties is allowed to participate in the procurement. In such cases the tenderer must either submit:

a tender signed by all parties of the consortium and a draft of a consortium agreement providing for joint and several liability with reference to the contract including the nomination of the lead firm of the consortium,  
or

a tender signed by the lead firm and a copy of a consortium agreement, signed by all participating parties, providing for joint and several liabilities with reference to the contract including the nomination of the lead firm of the consortium.

Each member of the consortium must fill in a self-declaration according to the requirement in section 6.2 Subcontractors self-declaration.





The Embassy will before awarding of contract verify that each member of the consortium meets the requirements Exclusion and qualification according to requirement in section 6.3 Supplementary documentation - Exclusion and qualification.

Parties in a consortium that do not meet the requirements will be excluded from the tender, which may have implications for the whole tender.

### 7.5 Access to other companies' capacity

Chapter 14. 6 § LOU states that a tenderer may rely on other companies' economic and/or technical and professional capacity to meet the qualification requirements. "Other companies" refers to separate physical and / or legal entities, such as subsidiaries or sister companies within a group or a partner company. Please also see section 6.2 regarding Subcontractors self-declaration.

If tenderers wish to exercise this right, the company's name and registration number shall be provided below - Company data (if attached to the tender documents). The company's role shall also be stated.

Before the award of contract and upon request from the Embassy, tenderers who rely on other companies' capacity shall provide a commitment from the company in question or in another way demonstrate that the tenderer will have the necessary resources at its disposal when the contract is fulfilled. The evidence may be a parent guarantee, an agreement of cooperation or other form of binding commitment.

In addition, the Embassy will before awarding of contract verify that the company / partner that the tenderer relies upon meet the stated requirements regarding exclusion and qualification according to section 6.3 Supplementary documentation - Exclusion and qualification.

Companies that do not meet these requirements are excluded from the tendering process, which may have implications for the whole tender.

### 7.6 Subcontractors

If a tenderer intends to place parts of the procurement contract with subcontractors, this must be reported.

Tenderers who use subcontractors to perform projects, must describe in the tender how the tenderer can utilise the resources of the subcontractor that are needed to perform the possible contract.



The tenderer is responsible for the subcontractor's work as theirs

### 7.7 Availability of resources

The tenderer confirms that the required resources will be at the disposal of the tenderer when the project is to be implemented.

## 8 Tender price

### 8.1 Fees and costs

The tender must specify the fee/hour for each category (level) of proposed personnel in the tender (max five persons per level) according to appendix 9, Price Basket. Only one fee may be specified for each category.

All fees and costs in tender must be stated in SEK exclusive of VAT and must include all other taxes and levies. For invoicing the Embassy will accept invoices in SEK.

The financial evaluation will be performed based on the total hourly fee according to the enclosed form "Price Basket", appendix 9.

In addition, the Consultant shall be entitled to reimbursement for reimbursable costs as provided by the General Terms and Conditions § 5, and in accordance with budget of each assignment.

## 9 Terms of reference/Requirements specification

The terms of reference/requirements specification indicate fundamental and specific requirements for the performance of the project.

### 9.1 Acknowledgement of requirements

The tender must contain an acknowledgement that the requirements for performing the project, as stated in the terms of reference, are fulfilled.

### 9.2 Tender

The tenderer, must in the tender describe how the assignment will be carried out with emphasis on;

- Implementation and Method
- Organisation for the assignment
- The consultant qualifications and competence



### 9.3 Personnel for the Performance of the Services

Tenderers must offer two different levels of consultants: Level 1 and Level 2. These two levels are described below.

The tender must supply at least three (3) consultants (individual) for each Level.

The tenderer may offer a maximum of five (5) consultants (individuals) per level. If a tenderer offers more than five consultants (individuals), only the first five (5) listed will be considered.

A consultant (individual) must not be part of more than one tender related to this procurement.

#### 9.3.1 **Level 1 – Senior Consultant**

The person(s) responsible for the performance of each specific audit assignment shall be Senior Consultant(s) and have a very high level of competence within his/her area. The Senior consultant(s) shall be able to work as a team-leader. A very high level of competence is defined as the consultant (individual) meeting all of the requirements below:

- Must have at least seven years relevant working experience in a senior position to assignments in the auditing sector.
- Must have a degree from a college/university with relevance to performing assignments in the Auditing Sector or alternatively equivalent substantiated knowledge acquired through ten years of working experience.
- Must have been responsible for and/or carried out at least five assignments in the last five years with relevance to auditing donor funded projects or programs in development cooperation.
- Must have a very good knowledge of English (written and spoken) at least as per Language Level 2, Full Professional Proficiency in Appendix 7, Language Level Definition.



### 9.3.2 **Level 2 – Junior/Assistant Consultant**

Must have a good level of competence within his/her area and be able to work independently. A good level of competence is defined as the consultant (individual) meeting all of the requirements below:

- Must have at least three years working experience of assignments with relevance for performing assignments in the Auditing Sector.
- Must have a degree from a college/university with relevance for performing assignments in the Auditing Sector or acquired similar competence through experience working within the sector.
- Must have participated in at least three assignments during the last five years within the Auditing Sector.
- Must have a very good knowledge of English (written and spoken) at least as per Language Level 2, Full Professional Proficiency in Appendix 7, Language Level.

#### ***Documents that must be enclosed (for item 9.3.1 and 9.3.2) with the tender***

- a) Information stating which persons the tenderer intends to use to carry out the assignments. The persons must be introduced in an enclosed Curriculum Vitae (CV) set out according to Appendix 5 Template for CV and contain name, theoretical competence, experience and assignments carried out that show that the requirements regarding Consultant Level 1 and 2 have been met. The presentation of the assignments carried out must also detail the type of assignments that have been carried out, showing experience in relation to the sector (Auditing). The CV must also show which consultant level the person belongs to.
- b) A brief description of one assignments per person that meet the requirements of the consultant level in question (Appendix 12). The assignments must have been performed within the Auditing Sector. The Contracting Authority may verify information given in the tender by contacting the client for those previously performed assignments.
- c) List of consultants (individuals) offered by the tenderer (Appendix 8, List of Consultants must be used as a template).



## 10 Evaluation criteria

The tenderer's proposal based on the requirements in p. 10.1 up to 10.2 will be assessed in accordance with the evaluation criteria and method stated below.

### 10.1 Implementation and Method (20 p)

Based on the requirements, in the ToR, the tender shall present the methodology the tenderer intends to use for carrying out assignment and in particular specify how the method will comply with the requested objectives. The presentation shall show that the tender is able to conduct the audit services according to the ToR and cover the following:

- the understanding of the services – the proposal should show that the tenderer has a good grasp of the services and its role and task (8p);
- how the tenderer describes the tenderer's methods used to carry out the different types of audits, reviews and investigations (6p);
- the tenderer's approach to reducing corruption – relevance of the tender's approach to reviews and audits as tools to reduce the risk of corruption. (6p);

### 10.2 Organisation (20p)

The tenderer shall specify the organizational set up for the performance of the services. The specification shall meet the requirements set up in the ToR and cover the following:

- the organization should be designed to secure that personnel with adequate qualifications and experience are designated for the services in Sub- Saharan (8p);
- the organization should be clear, transparent and well suited to the purpose and objectives of the services. (4p);
- the organization should have wide geographical presence in sub-Saharan Africa including Zambia (8p)



### 10.3 Qualifications and competence (60 p)

The tender should include information on qualifications and competence of the company and the proposed personnel see p. 9.3.1 and 9.3.2. The information will be evaluated and compared to the following requirements:

**10.3.1 In addition** to the requirements stated in p.9.3.1 the proposed Senior Consultant should:

- a) have extensive professional experience in conducting assignment as indicated in T.o.R.(Appendix 1) and in accounting and financial management rules, procedures and practices in Zambia and sub-Saharan countries (15p)
- b) have extensive experience in polices for procurement applied by the different sectors in Zambia or other countries with comparable setup (4p)
- c) have extensive experience working with Government programs, Civil society organizations and Non-Governmental organizations and auditing donor-funded projects in Zambia and Sub-Saharan African countries (15p)
- d) have experience in capacity building and training of partners in development cooperation. (2p)

**10.3.2 In addition** to the requirements stated in p. 9.3.2 the proposed Junior/Assistant Consultant should:

- e) have relevant professional experience in conducting assignment as indicated in T.o.R.(Appendix 1) and in accounting and financial management rules, procedures and practices in Zambia and sub-Saharan countries (10p)
- f) have relevant experience in polices for procurement applied by the different sectors in Zambia or other countries with comparable setup (2p)
- g) have relevant experience working with Government programs, Civil society organizations and Non-Governmental organizations and auditing donor-funded projects in Zambia and Sub-Saharan African countries (10p)
- h) have experience in capacity building and training of partners in development cooperation. (2p)



## 11 Evaluation of Tenders

The contract will be awarded to the three economically most advantageous tenderers with the best relation between quality and price.

### 11.1 Principles of Evaluation

Technical Evaluation	Evaluation Criteria	Max. Points
	1. Implementation, Method	20
	2. Organization	20
	3. The combined competence and experience of proposed staff for the performance of the services	
	- Senior Consultant	36
- Junior Consultant/Assistant Consultant	24	
	Total points	100

### 11.2 Method of evaluation

The number of points that can be awarded under each of the technical evaluation criteria. For example, if a maximum of 20 points can be awarded for a give criteria, "Good" will mean $0.8 \times 20 = 16$ points. (In the evaluation, the levels (in %) will have fixed values, which means that there will be no intermediate values).	Poor <sup>vi</sup>	0%
	Not entirely satisfactory <sup>vii</sup>	40 %
	Satisfactory <sup>viii</sup>	60 %
	Good <sup>ix</sup>	80 %
	Very Good <sup>x</sup>	100 %

<sup>vi</sup> Not addressed or not sufficient

<sup>vii</sup> Sufficient in some aspects but not as a whole

<sup>viii</sup> Sufficient but lacks substantial advantages or has uneven quality

<sup>ix</sup> Adequate and well suited to the purpose



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Minimum technical score	The technical part of the tender must achieve a minimum of >60< points as a condition for further evaluation
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To conclude the evaluation the technical score and the total price (fee) are converted to a Comparison value. The winning tender has the lowest Comparison value. The Comparison value is an adjustment of the price based on the following formula:

Comparison value = Offered price x (1+Percentage increase).

Percentage increase = ((Maximum technical score – Actual technical score) / Maximum technical score) x Adjustment factor;

The Adjustment factor indicates the weight the technical score has in relation to the price. Normally the factor is between 0,5 and 4.

**In this case the adjustment factor is 3,5.**

Example

The adjustment factor in this *example* is 3,0.

Tender A:

Price 480 000, Technical score 90.

Tender B:

Price 400 000, Technical score 75.

Evaluation Tender A:

Percentage increase = (100-90) / 100 x 3,0; Percentage increase = 0,3

Comparison value = 480 000 x (1+0,3); Comparison value = 624 000.

Evaluation Tender B:

Percentage increase = (100-75) / 100 x 3,0; Percentage increase = 0,75

Comparison value = 400 000 x (1+0,75); Comparison value = 700 000.

The winning tender is A since it has the lowest Comparison value.

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<sup>ix</sup> Gives added value and shows high quality on the whole