

**EAST AFRICAN COMMUNITY
CIVIL AVIATION SAFETY AND SECURITY OVERSIGHT AGENCY**



**REQUEST FOR PROPOSALS
CONSULTANCY FOR THE DEVELOPMENT OF THE CASSOA RISK MANAGEMENT
FRAMEWORK
(CAS/SRVCS/001/2017-2018)**

The Civil Aviation Safety and Security Oversight Agency (EAC-CASSOA) is a self accounting institution of the East African Community. The Agency has allocated funds in its FY2017/2018 Budget for a Consultancy for the Development of the CASSOA Risk Management Framework. The Agency invites eligible consulting firms to send proposals for providing these services. The scope of service shall include but not be limited to the following:

- a) Carry out a diagnostic review of operational risk management practices at the Agency as compared to industry best practices and regulatory guidelines;
- b) Develop a Risk Management framework including design of control procedures over critical business processes to assist in risk mitigation/minimisation, risk management procedures manual and risk reporting templates;
- c) Analyse key business processes and facilitate the risk identification/grading of operational risk areas by departments;
- d) Develop departmental risk registers and consolidate these into the Agency risk register;
- e) Develop the risk management framework implementation and post implementation plans and budgets; and
- f) Conduct training and sensitization in risk management of CASSOA Secretariat staff.

Detailed information is available and can be downloaded from the EAC CASSOA website: www.cassoa.org or the East African Community website www.eac.int/

Procurement of the services will be done through Request for proposals in accordance with the EAC –CASSOA procurement procedures. Interested parties should submit their **SEALED** bids clearly marked “**Request For Proposal for Consultancy for the Development of the CASSOA Risk Management Framework (CAS/SRVCS/001/2017-2018)**” comprising of a technical proposal and a financial proposal, in **separate sealed envelopes, one original and one copy for both the Technical and Financial proposal** to reach the address below not later than **24th January 2018 at 11.00 a.m.**

**The Executive Director,
EAC CASSOA,
Plot 41/43 Circular Road,
P.O. Box 873,
Entebbe, Uganda.**

EAC CASSOA reserves the right to accept or reject any application and is not bound to give reasons for its decision. Further clarification may be sought through email on cassoa@cassoa.org

TERMS OF REFERENCE

CONSULTANCY FOR THE DEVELOPMENT OF THE CASSOA RISK MANAGEMENT FRAMEWORK (CAS/SRVCS/001/2017-2018)

1) Background

The East African Community (EAC) is the regional economic community of the Republics of Burundi, Kenya, Rwanda, Uganda, United Republic of Tanzania and the Republic of South Sudan. The Civil Aviation Safety and Security Oversight Agency (CASSOA) is a specialised technical institution of the Community responsible for ensuring the development of a safe and secure civil aviation system in the region. Safe and secure aviation in the Region is dependent on establishing and maintaining an effective oversight system based on the eight critical elements specified by ICAO. The Agency is mandated to assist the Civil Aviation Authorities of the Partner States carry out their oversight responsibilities. The Partner States retain the responsibilities of regulating the civil aviation activities in their territories. CASSOA endeavours to ensure that civil aviation safety and security standards are harmonised and implemented consistently in all Partner States.

The primary objectives of the Agency, as stated in the Protocol, are to:

- g) Promote the safe, secure and efficient use and development of civil aviation within and outside the Partner States;
- h) Assist the Partner States in meeting their safety and security oversight obligations and responsibilities under the Chicago Convention and its Annexes; and
- i) Provide the Partner States with an appropriate forum and structure to discuss plan and implement common measures required for achieving the safe and orderly development of international civil aviation through the implementation of international standards and recommended practices relating to the safety and security of civil aviation.

The Agency was established in June 2007 and is headquartered in Entebbe, Uganda. It comprises of ten departments namely Executive Director's Office, Finance, HR and Administration, Information Technology, Flight Operations, Airworthiness, Aviation Security, Air Navigation Services and Aerodromes and Ground Aids and the Centre for Aviation Medicine.

2) Objectives of the Assignment

The overall objective of this assignment is to develop the Agency Risk Management Framework and capacity building of staff to enable the implementation of this framework.

3) Scope of the Assignment

- a) Carry out a diagnostic review of operational risk management practices at the Agency as compared to industry best practices and regulatory guidelines;
- b) Develop a Risk Management framework including design of control procedures over critical business processes to assist in risk mitigation/minimisation, risk management procedures manual, risk reporting templates and a business continuity plan;
- c) Analyse key business processes and facilitate the risk identification/grading of operational risk areas by departments;

- d) Develop departmental risk registers and consolidate these into the Agency risk register;
- e) Develop the risk management framework implementation and post implementation plans and budgets; and
- f) Conduct training and sensitization in risk management of CASSOA Secretariat staff.

4) Expected output / Deliverables

- (i) Consultancy Inception Report;
- (ii) Risk Management framework document;
- (iii) Risk Management Framework procedures manual;
- (iv) Consolidated Agency Risk Register; and
- (v) Risk management framework Implementation plan and budget.

5) Roles and Responsibilities

CASSOA will be responsible for:

- (i) Preparing the Terms of Reference.
- (ii) Selecting, contracting and managing the Consultant.
- (iii) Managing communications and logistics associated with the consultancy.
- (iv) Supervising the Consultant during the contract.
- (v) Provide all relevant documents required for the assignment.
- (vi) Provide consultancy contract before the beginning of the assignment.
- (vii) Pay the agreed consultancy fees as detailed in the contract upon acceptance of the deliverables and receipt of an invoice thereon.

The Consultant will be responsible for:

- (i) Preparation of a work plan.
- (ii) Actively engaging with staff through the use of participatory processes.
- (iii) Timely production of deliverables in accordance with the requirements and timeframes of the Terms of Reference.

6) Duration of the Consultancy

It is estimated that the work will require 40 man days to complete. The assignment will start in Mid February 2018 and should be completed by end of April 2018. This assignment is expected to be carried out according to the timeframes below:

Task	Date
Call for Proposals	11 th December 2017
Closing date for applications	24 th January 2018
Opening of bids	24 th January 2018
Evaluation of bids	29 th – 30 th January 2018
Contract signing	19 th February 2018

7) Institutional Arrangements

The Consultant will report to the Project Coordinator.

8) Expertise

Experience

The ideal Consultant should demonstrate:

- (i) At least ten years professional experience in audit and/or risk management.
- (ii) Evidence of having undertaken similar assignments should be provided; and
- (iii) Prior experience on aviation oversight issues would be a plus.

Skills and Competencies:

The ideal Consultant should demonstrate competence in:

- (i) High level written and oral communications skills in English;
- (ii) Must be result-oriented, a team player, exhibiting high levels of enthusiasm, tact, diplomacy and integrity; and
- (iii) Advanced information technology usage skills.

Academic Qualifications:

- (i) The Lead Consultant should have a minimum of a Masters degree in Finance/Accounting/Business Administration or any other relevant field.
- (ii) The Consultant should have professional qualifications in Accountancy, Internal Audit and/or Risk Management.
- (iii) The Consultant should also be a member of a relevant Professional body in good standing.

9) Evaluation Criteria

The award of the contract shall be made to the Consultant whose offer has been evaluated and determined as:

- (i) Responsive/compliant/acceptable.
- (ii) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.
- (iii) Technical Criteria weight; 90%; Financial Criteria weight; 10%
- (iv) Only candidates obtaining a minimum of 35 points (70%) of the total technical points) would be considered for the Financial Evaluation.

Technical Evaluation Criteria

The technical evaluation criteria will be as shown in the table below.

	Point rated criteria	Marks
1.	Understanding of the Terms of Reference	10
2.	Experience in developing risk management frameworks (minimum 5 years) (Provide at least three references of similar undertakings previously done)	10
3.	Relevant qualifications of proposed expert. (Provide CV of proposed expert)	10
4.	Proposed Methodology	15
5.	Proposed timeframe	5
	Total Score	50

Financial Evaluation Criteria

Amongst the bidder qualifying for financial evaluation, full points will be awarded to the bidder with the lowest bid and fewer points will be awarded to the other bidders based on the percentage differential of their bid from that of the lowest bid.

The points awarded for the Technical and Financial evaluations will be used to calculate the Evaluated Bid Score (B) for each responsive bid using the following formula, which permits a comprehensive assessment of the bid price and the technical merits of each bid. For the Financial Evaluation the Evaluated Bid Price (C) is equivalent to ten (10) points. The points awarded for the technical evaluation to all qualified Bidders in the first stage will be applied to the Technical Score (T).

$$B \equiv \frac{C_{low}}{C} X + \frac{T}{T_{high}} (1 - X)$$

Where:

C = Evaluated Bid Price

C_{low} = the lowest of all Evaluated Bid Prices among responsive bids

T = the total Technical Score awarded to the bid

T_{high} = the Technical Score achieved by the bid that was scored highest among all responsive bids

X = weight for the Financial proposal (10%)

10) Copyright for the Documents

The documents developed will be fully owned by CASSOA including the rights associated.

11) Non-disclosure Agreement

Since the Consultant will be working with information that may at times be classified, the Consultant is required to sign a non-disclosure agreement with CASSOA during the time of signing of the Contract Agreement. The information or reference documents submitted to him must be returned upon completion of the Consultancy.

12) Application process.

Where applicable interested bidders should provide such information as:

- (i) Corporate profiles including legal status of the Consulting firm, general experience information over the last 5 years, the firm history and overall personnel structure;
- (ii) Financial information including audited accounts for the last 3 years, status of assets and liabilities, evidence of being a taxpayer;
- (iii) Specific experience in the field of the assignment over the last 5 years to prove technical qualifications and experience; and
- (iv) Concise résumés of the consultants' key personnel indicating their academic and professional qualifications and experience.

Applicants are expected to provide the following information:

- i) Letter of Application
- ii) Technical proposal: It should include an understanding of the terms of reference, the methodology on how they will approach and complete the assignment, a proposed work plan of the activities of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals) that may be required, summarized signed 1 page CV of each member of the Consultants'

- team, indicating level of education and training, positions held and experience in the specialty of the assignment to be carried out and Five written references to attest and confirm individual experience, suitability and credibility of the Consultant(s) to the assignment.
- iii) Financial proposal that indicates the total contract price in United States Dollars and a detailed breakdown of Professional fees and reimbursable amounts should also be provided. (Please fill in the financial proposal (Annex I).

Applications should be submitted to **CASSOA Headquarters located on Plot 41/43 Circular Road, Entebbe not later than 24th January 2018 at 11.00 a.m.** Please reference **“Request for Proposal for Consultancy for the development of the CASSOA Risk Management Framework (CAS/SRVCS/001/2017-2018)”**.

[Location, Date]

To: [Name and address of EAC CASSOA]

Dear Sir/Madam:

We/I offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and the Technical Proposal. The attached Financial Proposal is for the sum of [Insert amount in words and figures]. This amount is exclusive of local taxes, which we have estimated at [insert amount in words and figures].

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

We/I also declare that we/I have not been declared ineligible on charges of engaging in corrupt, fraudulent, collusive, or coercive practices in any state. I furthermore, pledge not to indulge in such practices in executing the Contract.

We/I understand that, you are not bound to accept any Proposal you receive.

Signed.....

Name of the Consultant.....

Date.....

Summary of Costs

Cost Component	Costs (USD)
Professional fees	
Reimbursable expenses	
TOTAL	

Detailed breakdown of Professional fees

Consultant	Input (man days)	Rate (US\$)	Amount (US\$)
Total			

Detailed breakdown of estimates of reimbursable costs

Description of cost	Quantity	Unit measure of	Rate (US\$)	Amount (US\$)
Total				