

**REQUEST FOR PROPOSAL (RFP)  
(For Low-Valued Services)**

	DATE: 07.02.2019
	REFERENCE: 02/12/2019

Dear Sir / Madam:

We kindly request you to submit your Proposal **for Internal Audit**. Please be guided by the form attached hereto as Annex 2, in preparing your Proposal.

Proposals may be submitted on or before Monday, February 17, 2020 via email, at the following address [procurement@isolaralliance.org](mailto:procurement@isolaralliance.org)

**International Solar Alliance  
Surya Bhawan,  
National Institute of Solar Energy Campus  
Gwal Pahari, Faridabad-Gurugram Road,  
Gurugram, Haryana – 122003, India**

Your Proposal must be expressed in the English , and valid for a minimum period of 3 Months

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by ISA after the deadline indicated above, for whatever reason, shall not be considered for evaluation. If you are submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files.

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of ISA requirements.

The Proposal that complies with all of the requirements, meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by ISA after it has received the Proposal. At the time of Award of Contract, ISA reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract that will be issued as a result of this RFP shall be subject to the General Terms and Conditions attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of ISA, herein attached as Annex 3.

Please be advised that ISA is not bound to accept any Proposal, nor award a contract, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

ISA encourages every prospective company to prevent and avoid conflicts of interest, by disclosing to ISA if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

ISA implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against ISA, as well as third parties involved in ISA activities. ISA expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link :  
[https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unsc/conduct\\_english.pdf](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unsc/conduct_english.pdf)

Thank you and we look forward to receiving your Proposal.

Sincerely yours,

*Sudhakar Upadhyay*  
*Administrative Officer*

### Description of Requirements

Context of the Requirement	<p>International Solar Alliance (ISA) was conceived as a coalition of solar resource rich countries to address their special energy needs. Vision and mission of ISA is to provide a dedicated platform for cooperation among member countries where the global community, including bilateral and multilateral organizations, corporates, industry, and other stakeholders, can make a positive contribution to assist and help achieve the common goals of increasing the use of solar energy in meeting energy needs of prospective ISA member countries in a safe, convenient, affordable, equitable and sustainable manner Within the internal oversight mechanism, independent internal audits shall be conducted in accordance with regulations and in conformity with generally accepted auditing standards. Internal auditors shall review, evaluate and report on the use of financial resources and on the effectiveness, adequacy and application of internal financial control systems, procedures and other relevant internal controls. Internal audits shall also include the following elements:</p> <p>a) Compliance of financial transactions with Assembly decisions, resolutions, approved programmes and other legislative mandates, with regulations, procedures and related administrative directives and with the approved recommendations of external oversight bodies;</p> <p>b) Economy, efficiency and effectiveness of financial, physical and human resources management and utilization, and of programme delivery, including by examining the structure of the ISA and its responsiveness to the requirements of programmes and legislative mandates and by conducting management audits.</p>
Brief Description of the Required Services	<p>The ISA financial audits are conducted in line with International Standards on Auditing.</p> <ul style="list-style-type: none"> <li>➤ To express an independent professional opinion with regard to efficiency, effectiveness and economy of the program and operations.</li> <li>➤ To ascertain and evaluate the adequacy and effectiveness of the financial management and internal</li> </ul>

	<p>control framework.</p> <ul style="list-style-type: none"> <li>➤ To ascertain compliance of the laid down policies, ISA financial norms, various guidelines, manuals, etc as applicable under ISA financial regulations.</li> <li>➤ To identifying areas for improvement and critical weaknesses, if any.</li> <li>➤ To provide Project management with timely information and recommendations on financial management aspects of the ISA to enable timely corrective actions, as necessary.</li> <li>➤ certifying, and expressing an opinion on the statement of expenses, the statement of cash position and the statement of assets and equipment;</li> <li>➤ indicating the risks associated with the audit findings and providing a categorization by risk (high, medium, low).</li> </ul>
<p>Scope of work</p>	<ul style="list-style-type: none"> <li>✓ An assessment of the adequacy of the program 's financial management system, including internal controls, checks and balances.</li> <li>✓ Funds have been used in accordance with ISA financial norms and financial regulations with due attention to economy and efficiency, and only for the purpose for which the financing has been provided.</li> <li>✓ Monitoring of efficiency and timeliness of funds flow and reporting (Utilization Certificates) mechanism at the level of Partners. Adequacy of deliverables for implementation of project activities.</li> <li>✓ Application of the delegation of Authority, expenditure incurred are in accordance with the financial norms prescribed for ISA, in line with Budget allocation and with proper supporting. Goods, works and services have been procured in accordance with relevant provisions of Procurement Manual for procurements.</li> <li>✓ Reconciliation of Bank Statements and accounts is regularly carried out on a monthly basis and necessary corrections on account of Bank's credits/debits and stale cheques are accounted for concurrently.</li> <li>✓ Assets: Completeness, existence, recording, safeguard and utilization for the purpose intended including, physical verification of sample of assets.</li> <li>✓ Ascertain the reliability of integrity, controls, security and effectiveness of the operation of computerized system. Identify constraints, if any, in adhering to the</li> </ul>

	<p>internal control procedures.</p> <ul style="list-style-type: none"> <li>✓ Review the Financial sustainability and forecasting including possible risks and suggest solutions.</li> <li>✓ Provide recommendations to ISA for improvement in the areas reviewed by Internal Auditor.</li> </ul>
Person to Supervise the Work/Performance of the Service Provider	DG/Director (Finance)
Frequency of Reporting	Quarterly
Progress Reporting Requirements	The vendor will submit the detailed report/Invoice to ISA Secretariat on monthly basis.
Location of work	ISA Secretariat, Surya Bhawan, National Institute of Solar Energy Campus, Gwal Pahari, Faridabad-Gurugram Road, Gurugram, Haryana – 122003, India
Expected duration of work	12 months , extendable for two years.
Target start date	February, 2019
Facilities to be Provided by ISA (i.e., must be excluded from Price Proposal)	----
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input type="checkbox"/> Not Required
Names and curriculum vitae of individuals who will be involved in completing the services	<input type="checkbox"/> Not Required
Currency of Proposal	<input checked="" type="checkbox"/> Indian Rupees
GST Price Proposal	<input checked="" type="checkbox"/> must inclusive GST separately and other applicable indirect taxes.
Validity Period of Proposals ( <i>Counting for the last day of submission of quotes</i> )	<input checked="" type="checkbox"/> 90 days  In exceptional circumstances, ISA may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.

Partial Quotes	<input checked="" type="checkbox"/> Not permitted
Payment Terms	Payment will be performance based, as per the mutual agreement between Company and ISA Management.
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	ISA Senior Management
Type of Contract to be Signed	<input checked="" type="checkbox"/> Contract for Professional Services
Criteria for Contract Award	<input checked="" type="checkbox"/> Lowest Price Quote among technically responsive offers <input checked="" type="checkbox"/> The minimum technical score required to pass is 70% <input checked="" type="checkbox"/> Full acceptance of the ISA Contract General Terms and Conditions (GTC).
Criteria for Preliminary Examination of Proposals	1. Technical proposal is submitted separately from Financial Proposal 2. Financial proposal must be password protected. If not, proposal will get rejected. 3. Latest Certificate of Registration of Business submitted Is the Offeror, or any of its joint venture member, included in UN Security Council 1267 List and List of Suspended and Removed Vendors
Eligibility Criteria	<b>1. Legal Registration:</b> <ol style="list-style-type: none"> <li>a. Certificate of Registration of the company eligible to do Internal Audit</li> </ol> <b>2. Relevant Experience:</b> <ol style="list-style-type: none"> <li>a. Minimum fifteen years of Audit experience of UN or UN agencies.</li> <li>b. Major Clients: To be provided in a table showing [minimum] three ongoing or completed contracts for same or similar services executed in the last 3 years, for each contract, provide details of: client name, contract dates, contract values, contract focal point name and email, work location. [Note: ISA reserves the right to conduct reference checks with one or more of the listed clients of the Vendor]</li> </ol>

	<p>c. Letter or statement of Satisfactory Performance from the top two clients in terms of Contract Value in past 3 years.</p> <p><b>3. Financial soundness:</b> Audited financial statements for the last 3 years.</p>
Criteria for the Assessment of Proposal	<p><b><u>Technical Proposal (70%)</u></b>  <input checked="" type="checkbox"/> Expertise of the Firm <b>40%</b></p> <p>General Organizational Capability and experience of Audit. The Organization should have specialization and experience in Audit. Experience in UN Audit is must.</p> <ul style="list-style-type: none"> <li>• General Firm experience-number of years and kind of Audits-details half page</li> <li>• UN or its agencies Audit experience-number of years-details half page</li> <li>• Size of the firm -number of employees (without inclusion of associate firms) details of team to do the assignment in one page- with half page CV per team member</li> <li>• Volume of the business managed in the last financial year</li> </ul> <p><input checked="" type="checkbox"/> Methodology-details two pages-<b>30%</b></p> <p><b><u>Financial Proposal (30%)</u></b> To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by ISA.</p>
ISA will award the contract to:	<input checked="" type="checkbox"/> One and only one company.
Contract General Terms and Conditions	<input checked="" type="checkbox"/> General Terms and Conditions for contracts (goods and/or services)
Annexes to this RFP	<input checked="" type="checkbox"/> Form for Submission of Proposal (Annex 2)
Contact Person for Inquiries (Written inquiries only)	<p style="text-align: center;">Mr. Sudhakar Upadhyay  Address: ISA Secretariat, Surya Bhawan, NISE Campus, Gurugram  Faridabad Road, Gurugram  Telephone: 0124-285-3074  E-mail: sudhakar@isolaralliance.org</p>
Other Information [pls. specify]	

## Annex 2

**FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL**  
***(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>1</sup>)***

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[insert: Location].

[insert: Date]

To: **Mr. Sudhakar Upadhyay, ISA Secretariat, Surya Bhawan, NISE Campus, Gurugram Faridabad Road, Gurugram**

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to ISA in conformity with the requirements defined in the RFP dated *[specify date]* , and all of its attachments, as well as the provisions of the ISA General Contract Terms and Conditions:

### A. **Qualifications of the Service Provider**

*The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of ISA by indicating the following :*

- a) Profile – General Organisation structure, experience in Audit, describing the nature of business, field of expertise, ;*
- b) Business Licenses – Registration Papers, Tax Payment Certification, etc.*
- c) Latest Audited Financial Statement – income statement and balance sheet to indicate its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- d) Track Record – list of clients for similar services as those required by ISA, indicating description of contract scope, contract duration, contract value, contact references;*
- e) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, licences,etc.*
- f) Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.*

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<sup>1</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes



**B. Proposed Methodology for the Completion of Services**

*The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.*

**C. Qualifications of Key Personnel**

*If required by the RFP, the Service Provider must provide :*

- a) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;*
- b) CVs demonstrating qualifications must be submitted if required by the RFP; and*
- c) Written confirmation from each personnel that they are available for the entire duration of the contract.*

**D. Cost Breakdown**

		<b>Annual Price Quote</b>	
1	<b>Annual cost (Excluding GST)</b>		

*[Name and Signature of the Service Provider's  
Authorized Person]*

*[Designation]*

*[Date]*