



FINANCIAL SECTOR DEEPENING UGANDA

Request for Proposals

for

Procurement of Consultancy Services

**Subject of Procurement: Consultancy to develop a Strategic Plan for the
Uganda Microfinance Regulatory Authority**

Procurement Reference Number: FSDU/SRVC/2018/00023

July 2018

Contents

Part 1: Proposal Procedures.....	5
1.1 Section 1: Instructions to Consultants.....	5
1.2 Section 2: Technical Proposal Submission Sheet.....	8
1.3 Section 3: Financial Proposal Submission Sheet.....	11
Part 2: Terms of Reference.....	13
2.2 Objectives of the Consultancy Assignment.....	13
2.3 Scope of Work.....	13
The scope of work for the Consultant will include but not be limited to:.....	13
2.4 Deliverables.....	14
2.5 Duration of the Assignment.....	14
2.6 Institutional Arrangements.....	14
2.7 Expertise.....	14
2.8 Payment Schedule.....	15

10th July 2018

Dear Sir/ Madam

Re: Letter of invitation

1. Financial Sector Deepening (FSD) Uganda would like to procure services of a Consultant to develop a Strategic Plan for the Uganda Microfinance Regulatory Authority
2. FSD Uganda invites sealed proposals for the provision of the above services.
3. Bidding will be conducted in accordance with the method of short listing of Consultants without publication of an expression of interest.
4. You may obtain further information and inspect the proposal documents at FSD Uganda offices from 8:00 am to 4:00pm for a period of three working days from the date of issue of the RFP or inquire through the email address provided in section 5 below.
5. Proposals must be delivered physically or electronically to the address below before 11:00 AM EAT on 25th July 2018. Late proposals shall be rejected.

Attn,
Chief Operations Officer,
Financial Sector Deepening Uganda,
Plot 7A John Babiha Avenue, Kololo
P.O.Box 608,
Kampala, Uganda.
procurement@fsduganda.or.ug

6. There shall be no *pre – proposal* meeting.
7. (a) Documents can be downloaded from the FSD Uganda website on the following link <https://wp.me/p9vy5T-2Nf>.
(b) Proposals must be delivered physically to FSD Uganda or electronically to the email address in 5 above.
(c) Address of Proposal Opening: FSD Uganda office
Plot 7A John Babiha Avenue, Kololo
on 25th July 2018 at 11:15 a.m.
8. Please inform us, upon receipt:
(a) whether you will submit a proposal alone or in association.

9. The planned procurement schedule (subject to changes) is as follows:

Activity	Date
a) Issue of invitation to bid letter	10 th July, 2018
b) Request for clarifications	Within 3 working days from the date of issuance of RFP
c) Proposal closing date	25 th July 2018 at 11:00 am EAT
d) Evaluation process	26 th July 2018
e) Display and communication of best evaluated bidder notice	30 th July 2018

Yours faithfully,



Joan Larok
Chief Operations Officer
FSD Uganda

Part 1: Proposal Procedures

1.1 Section 1: Instructions to Consultants

Preparation of Proposals: You are requested to submit separate technical and financial proposal, as detailed below. The standard forms in this Request For Proposal may be retyped for completion but the Consultant is responsible for their accurate reproduction. You are advised to carefully read the complete Request for Proposals. Where an electronic copy of the Request for Proposals is issued, the paper or hard copy is the original version. In the event of any discrepancy between the two, the hard copy shall prevail

Preparation of Technical Proposals: Technical proposals should contain the following documents and information: **Consulting firms**

1. The Technical Proposal Submission Sheet in this Part;
2. A brief methodology for performing the services;
3. A detailed work plan, showing the inputs of all key staff and achievement of deliverables;
4. Copies of previous contracts of similar projects
5. CV's of key staff;
6. A summary of your experience in similar assignments;
7. The documents evidencing your eligibility, as listed below.

Preparation of Financial Proposals: Financial proposals should contain the following documents and information:

1. The Financial Proposal Submission Sheet in this Part;
2. A copy of the breakdown of Lump Sum Price form in this Part for each currency of your proposal, showing all costs for the assignment, broken down into fees and reimbursable and miscellaneous costs;

Validity of Proposals: Proposals must remain valid until 20th October, 2018.

Sealing and marking of Proposals: The technical and financial proposals should be sealed in separate envelopes, both clearly marked with the Procurement Reference Number above, the Consultant's name, FSD Uganda and either "Technical Proposal" or "Financial Proposal" as appropriate.

Both envelopes should be enclosed in a single outer envelope, clearly marked with the Procurement Reference Number above, the Consultant's name and FSD Uganda. All three envelopes should be sealed in such a manner that opening and resealing cannot be achieved undetected and bear a warning not to open before the time and date for proposal opening.

Submission of Proposals: Proposals should be submitted to the address below, no later than the date and time of the deadline below. Any proposal received by FSD Uganda after the deadline for submission of proposals shall be declared late, rejected, and returned unopened to the Consultant.

Date of deadline: 25th July 2018.

Time of deadline: 11:00 am EAT.

Address: Chief Operations Officer,
Financial Sector Deepening Uganda,
Plot 7A John Babiha Avenue, Kololo
P.O.Box 608, Kampala, Uganda
procurement@fsduganda.or.ug

Opening of Proposals: Technical Proposals will be opened in public by FSD Uganda at the time, date and address shown for submission of proposals. **Evaluation of Proposals:** The evaluation of Proposals will use the **Quality Based** methodology as detailed below:

1. Preliminary examination to determine eligibility (as defined below) and administrative compliance to this Request for Proposals on a pass/fail basis;
2. Detailed Technical evaluation with a pass mark of 80%;
3. Financial negotiations with the bidder with the highest technical score.

Proposals failing any stage will be eliminated and not considered in subsequent stages.

Eligibility Criteria: You are required to meet the following criteria to be eligible to participate in the procurement exercise:

1. have the legal capacity to enter into a contract;
2. not be insolvent, in receivership, bankrupt or being wound up or subject to legal proceedings for any of these circumstances;
3. not have had your business activities suspended;
4. have fulfilled your obligations to pay taxes and social security contributions;
5. have the nationality of an eligible(defined in the proceeding section) country;
6. not to have a conflict of interest in relation to this procurement requirement; and
7. not have a conflict of interest in relation to this procurement project.

Documents Evidencing Eligibility: Consultants are requested to submit copies of the following documents as evidence of your eligibility and sign the declaration in the Technical Proposal Submission Sheet:

1. Certificate of Incorporation
2. A copy of the Bidder's Trading licence (2018) or equivalent and a copy of the Bidder's Certificate of Registration;
3. Evidence of fulfilment of obligations to pay taxes (Tax Clearance Certificate) and social security contributions (for twelve months to 30 June 2018) where applicable in the jurisdiction of operation.
4. Power of attorney with a specimen signature of authorised representative
5. Any other relevant documentation.

Nationality of Personnel: All personnel employed under any resulting contract shall have the nationality of an eligible country to conduct business in Uganda.

All countries are eligible, unless as a matter of law or official regulation, the Government of Uganda prohibits commercial relations with that country or by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Government of Uganda prohibits any import of Supplies from that country or any payments to persons or entities in that country.

Technical Criteria: Proposals shall be awarded scores out of the maximum number of points as indicated in below.

Evaluation Criteria	Marks
Experience of Consultancy Firm (s)	
<i>Experience of the firm in preparation of strategic plans for organisations of comparable size, complexity and technical expertise.</i>	15
Sub-Total	15
Qualifications and Competence of the Consultants	
Team Leader	
<i>General qualifications</i>	5
<i>Experience and competencies of managing projects of comparable size, complexity and technical expertise</i>	20
Senior Members	

<i>General qualifications</i>	5
<i>Experience and competencies of managing projects of comparable size, complexity and technical expertise.</i>	15
Sub-Total	45
Adequacy of Methodology & Workplan	
<i>Technical Approach and methodology</i>	30
<i>Work plan</i>	10
Sub-Total	40
Grand Total	100

Minimum technical score: The mark required to pass the technical evaluation is 80%.

Currency: Proposals may be priced in Uganda Shillings or any other freely convertible currency and in up to two currencies. The currency of evaluation will be Uganda Shillings. Proposals in other currencies will be converted to this currency for evaluation purposes only, using the exchange rates published by the Bank of Uganda on the date of the submission deadline.

Best Evaluated Bid: The best evaluated bid shall be the firm with the highest combined score and shall be recommended for award of contract. FSD Uganda shall issue a Notice of Best Evaluated Bidder within 5 working days from the decision of the award a contract.

Award of contract: Award of contract shall be by placement of an Agreement in accordance with Part 3: Contract. FSD Uganda shall not award a contract to the best evaluated bidder until the lapse of ten days after the date of display of the Notice of Best Evaluated Bidder.

Right to Review: Consultants may seek administrative review by the Accounting Officer if they are aggrieved with the decision of FSD Uganda.

Right to Reject: FSD Uganda reserves the right to accept or reject any proposal or to cancel the procurement process and reject all proposals at any time prior to contract signature and issue by FSD Uganda, without incurring any liability to Consultants.

FSD Uganda reserves the right, at its sole discretion, to reject all proposals received and seek fresh proposals, to negotiate further with one or more of the bidders, to defer the award of a contract or to cancel the competition and make no contract award, if appropriate.

1.2 Section 2: Technical Proposal Submission Sheet

[Complete this form with all the requested details and submit it as the first page of your technical proposal, with the documents requested above attached. Ensure that your technical proposal is authorised in the signature block below. A signature and authorisation on this form will confirm that the terms and conditions of this RFP prevail over any attachments. If your proposal is not authorised, it may be rejected.]

Proposal Addressed to:	FSD Uganda
Date of Technical Proposal:	
Procurement Reference Number:	
Subject of Procurement:	

I/We offer to provide the services described in the Statement of Requirements, in accordance with the terms and conditions stated in your Request for Proposals referenced above.

I/We confirm that I/we are eligible to participate in public procurement and meet the eligibility criteria specified in Part 1: Proposal Procedures of your Request for Proposals.

I/We have signed and undertake to abide by the Code of Ethical Conduct for Bidders and Providers attached during the procurement process and the execution of any resulting contract;

My/Our proposal shall be valid until _____ *[insert date, month and year]* and it shall remain binding upon us and may be accepted at any time before or on that date;

I/We enclose a separately sealed financial proposal.

Technical Proposal Authorised By:

Signature: _____ Name: _____

Position: _____ Date: _____

—
—
(DD/MM/YY)

Authorised for and on behalf of:

Company: _____

Address: _____

CODE OF ETHICAL CONDUCT IN BUSINESS FOR BIDDERS AND PROVIDERS

1. Ethical Principles

Bidders and providers shall at all times-

- (a) maintain integrity and independence in their professional judgement and conduct;
- (b) comply with both the letter and the spirit of-
 - i. the laws of Uganda; and
 - ii. any contract awarded.
- (c) avoid associations with businesses and organisations which are in conflict with this code.

2. Standards

Bidders and providers shall-

- (a) strive to provide works, services and supplies of high quality and accept full responsibility for all works, services or supplies provided;
- (b) comply with the professional standards of their industry or of any professional body of which they are members.

3. Conflict of Interest

Bidders and providers shall not accept contracts which would constitute a conflict of interest with, any prior or current contract with FSD Uganda. Bidders and providers shall disclose to all concerned parties those conflicts of interest that cannot reasonably be avoided or escaped.

4. Confidentiality and Accuracy of Information

- (1) Information given by bidders and providers in the course of procurement processes or the performance of contracts shall be true, fair and not designed to mislead.
- (2) Providers shall respect the confidentiality of information received in the course of performance of a contract and shall not use such information for personal gain.

5. Gifts and Hospitality

Bidders and providers shall not offer gifts or hospitality directly or indirectly, to staff of FSD Uganda that might be viewed by others as having an influence on a government procurement decision.

6. Inducements

- (1) Bidders and providers shall not offer or give anything of value to influence the action of a public official in the procurement process or in contract execution.
- (2) Bidders and providers shall not ask a public official to do anything which is inconsistent with the Act, Regulations, Guidelines or the Code of Ethical Conduct in Business.

7. Fraudulent Practices

Bidders and providers shall not-

- (a) collude with other businesses and organisations with the intention of depriving FSD Uganda of the benefits of free and open competition;
- (b) enter into business arrangements that might prevent the effective operation of fair competition;
- (c) engage in deceptive financial practices, such as bribery, double billing or other improper financial practices;

- (d) misrepresent facts in order to influence a procurement process or the execution of a contract to the detriment of FSD Uganda; or utter false documents;
- (e) unlawfully obtain information relating to a procurement process in order to influence the process or execution of a contract to the detriment of the PDE;
- (f) withholding information from the PDE during contract execution to the detriment of the PDE.

I agree to comply with the above code of ethical conduct in business.

AUTHORISED SIGNATORY

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NAME OF CONSULTANT

1.3 Section 3: Financial Proposal Submission Sheet

[Complete this form with all the requested details and submit it as the first page of your financial proposal, with the documents requested above attached. Ensure that your proposal is authorised in the signature block below. A signature and authorisation on this form will confirm that the terms and conditions of this RFP prevail over any attachments. If your proposal is not authorised, it may be rejected. The total price of the proposal should

be expressed in the currency or currencies permitted in the instructions above.]

Proposal Addressed :	FSD Uganda
Date of Financial Proposal:	
Procurement Reference Number:	
Subject of Procurement:	

The total price of our proposal is: _____ .

We confirm that the rates quoted in our Financial Proposal are fixed and firm for the duration of the validity period and will not be subject to revision or variation.

Financial Proposal Authorised By:

Signature: _____ Name: _____

—

Position: _____ Date: _____

—

(DD/MM/YY)

Authorised for and on behalf of:

Company: _____

—

Address: _____

—

—

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Breakdown of Lump Sum Price

[Complete this form with details of all your costs and submit it as part of your financial proposal. Where your costs are in more than one currency, submit a separate form for each currency. Authorise the rates quoted in the signature block below.]

Procurement Reference Number: _____

CURRENCY OF COSTS: _____

FEES				
Name and Position of Personnel	Input Quantity	Unit of Input	Rate	Total Price
TOTAL:				

REIMBURSABLE AND MISCELLANEOUS COSTS				
Description of Cost	Quantity	Unit of Measure	Unit Price	Total Price
TOTAL:				

TOTAL LUMP SUM PRICE IN CURRENCY: _____

Breakdown of Lump Sum Price Authorised By:

Signature: _____ Name: _____

Position: _____ Date: _____

(DD/MM/YY)

Authorised for and on behalf of:

Company: _____

Part 2: Terms of Reference

Consultancy Services to develop a Strategic Plan for the Uganda Microfinance Regulatory Authority

2.1 Introduction

In 1999, the Bank of Uganda (BoU) issued a policy statement on Microfinance Regulation and Supervision as a framework for Ugandan microfinance institutions (MFIs), and recognised four tiers of institutions that do microfinance business in Uganda. The tiered system acknowledged that it may be necessary to regulate different types of institutions in different manners, and institutions can graduate from one tier to another, subject to meeting the regulatory requirements for that tier. To date, only the first three tiers have been directly regulated by BoU: (1) commercial banks; (2) credit institutions; and (3) Microfinance Deposit-taking Institutions (MDIs). Tier 4 MFIs have remained subject to multiple laws and registration authorities, as opposed to a consolidated legal framework. This has made the sector very complex in terms of supervision, coordination and reporting.

The Government of Uganda has established a new legal and regulatory framework for the Tier 4 MFIs. These MFIs are diverse in form and size, including: savings and credit cooperatives (SACCOs); credit-only microfinance non-governmental organisations (NGOs); Money Lenders and other community-based and informal financial groups, such as Village Savings and Loan Associations (VSLAs) and Self Help Groups (SHG).

In the past, Tier 4 MFIs have only been subject to partial and fragmented regulation, with very limited oversight. To address this, the Tier 4 MFIs and Moneylenders Act was passed and came into effect on 1st July 2017. The Same Act establishes an Autonomous Authority named as Uganda Microfinance Regulatory Authority (UMRA)

The main objectives of UMRA are:

- I) To licence, regulate and supervise all Tier 4 microfinance institutions.
- II) To protect the interests of clients and beneficiaries of Tier 4 microfinance institutions including the promotion of transparency accountability and client protection principles.
- III) To enforce full compliance of Tier 4 microfinance governing law and regulations.
- IV) To promote programmes and interventions that are necessary for the development of the Tier 4 microfinance institutions.

2.2 Objectives of the Consultancy Assignment

The overall objective of this consultancy is to develop a Five-Year Strategic Plan to accelerate and facilitate the growth of UMRA to fulfil its mandate in line with the National Development Plan II (NDP II) .

2.3 Scope of Work

The scope of work for the Consultant will include but not be limited to:

- i) Review the vision and mission based on UMRA mandate;
- ii) Undertake stakeholder mapping and analysis;
- iii) Undertake a situation analysis of UMRA operations to date;

- iv) Through a consultative process and application of an appropriate tool of analysis, identify focus areas and develop strategic objectives and key result areas for the same;
- v) Review the institutional capacity, organizational set-up, financial and administrative systems against the UMRA mandate and the identified strategic objectives and key result areas; and make appropriate recommendations;
- vi) Propose a strategy for achieving the strategic objectives and key results;
- vii) Identify key indicators for inclusion in the strategy in with NDP II Goals
- viii) Develop a Results and Resources mobilization Framework for the plan period;
- ix) Conduct stakeholder meeting(s) to validate the draft Strategic Plan;
- x) Finalize Strategic plan and submit to Management of UMRA and Board consideration.

2.4 Deliverables

The deliverables will be presented per the schedule outlined below:

- i) An inception report, within 5 working days from signing of contract, detailing the methodology of execution of the study and work plan
- ii) Facilitate a strategy planning session (s) with Management and Staff within 20 working days from submission and approval of an inception report
- iii) A draft Strategic Plan including a results and resources framework within 30 working days from submission and approval of an inception report
- iv) Facilitate a strategy planning session (s) with the Board and Management within 40 working days from submission and approval of an inception report
- v) A final Strategic Plan including a results and resources framework within 60 working days from submission and approval of an inception report

2.5 Duration of the Assignment

The assignment is expected to be completed over a period of 90 working days or 3 months from the signing of the contract

2.6 Institutional Arrangements

The Consultant will report directly to the Executive Director of UMRA. UMRA will provide relevant background documents necessary for the assignment. UMRA shall be responsible for the coordination of meetings and other activities under the Consultancy.

2.7 Expertise

This assignment is expected to be undertaken by a firm with the requisite expertise and experience. However, the firm will be allowed to partner with other firms to enhance their competencies specifically the firm (s) will be required to have the following key personnel:

- i) A Team leader with a minimum of bachelor's degree in Business or Finance related fields (A Master's degree would be an added advantage) and 5 years' experience in managing assignments of similar nature
- ii) An expert with a minimum of a relevant Master's Degree and 5 years of experience in development of strategies in the Financial Sector(Experience in Microfinance Regulation would be an added advantage).

2.8 Payment Schedule

FSD Uganda will make payments for this assignment using the following distribution;

PERCENTAGES	MILESTONES
20% Payment	Approved Inception Report
40% Payment	Approved Draft Strategic Plan
40% Payment	Approved Final Strategic Plan including a results and resources framework