



REQUEST FOR PROPOSAL

PROVISION OF BRITAM HOLDINGS IT GOVERNANCE REVIEW SERVICES RFP-2024-010/0001

RELEASE DATE: 11th October 2024

CLOSING DATE: 25th October 2024

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EXPRESSSION OF INTENT TO PARTICIPATE IN TENDER

This form is to be completed on receipt of the tender document from Britam Holding Company (Kenya) Limited.

This page is to be completed immediately and scan copy in PDF format e-mailed to Procurement tenders@britam.com. The data contained in this form will be used to send out any addenda that may arise. Firms that do not register their interest by completing this form may not be sent addenda that may arise.

Name of the firm’s representative completing this form:

Firm’s Name: _____

Address: _____

Tel No: _____

Email Address: _____

Signature: _____ Date: _____

Signed by (Name): _____

Position in Firm: _____

1 INTRODUCTION

1.0 Purpose of the Tender

The Britam Holding Company Limited ("Britam") invites qualified firms to submit their proposals for Provision of Britam Holdings IT Governance Review Services.

This Request for Proposal (RFP) is being made available to interested service providers on a restricted tender basis. This document is intended to provide vendors with sufficient understanding of the Britam's requirements to enable them to respond.

For the purposes of the RFP, it is necessary to disclose information in this document, and its schedules, which is considered confidential and should therefore not be used (otherwise other than in furtherance of this tender) or disclosed to any third party without explicit prior written consent of Britam.

Britam on its part also acknowledges that it is requesting through this RFP for information that is confidential and therefore commits in equal terms to reciprocal confidentiality.

1.1 Acknowledgement of Bidding Documents

Britam invites proposals for **Review of the IT Governance at Britam Holdings** in accordance with the requirements set out in this document. Within **three (3) working days** of receipt of the RFP, the Bidder is required to acknowledge receipt of the RFP and notify his intention to submit a bid by email to Britam at tenders@britam.com. The mail will include the signed registration template on Page 4 of this document.

Working days are defined as being any day of the week between Monday and Friday (0800 – 1700 Hrs) excluding weekends and gazetted public holidays in the Republic of Kenya).

Failure to do so shall be perceived as an intention not to submit a bid and the Bidder will be eliminated from the bid process and required to destroy the RFP document in keeping with confidentiality requirements.

1.2 Point of Contact

All enquiries or correspondence concerning the details of this tender should be addressed, in the first instance by e-mail to: tenders@britam.com .

The subject on the email should be **"CLARIFICATION ON THE PROVISION OF BRITAM HOLDINGS IT GOVERNANCE REVIEW SERVICES"**

- All responses from Britam to the Bidder shall be channelled through the Procurement Officer.
- It is the responsibility of the Bidder to obtain any further information required to complete this RFP.
- Any clarification request and their associated response will be circulated to all Bidders.
- All clarifications must be sought at the latest 5 days prior to the close of the RFP.

2 ABOUT BRITAM HOLDINGS PLC

2.0 Organization Profile

Britam Holdings PLC ("Britam") is a leading diversified financial services group, listed on the Nairobi Securities Exchange. The group has interests across the Eastern and Southern Africa region, with operations in Kenya, Uganda, Tanzania, Rwanda, South Sudan, Mozambique and Malawi. The group offers a wide range of financial products and services in Insurance, Asset management, Banking and Property. For more information, please visit <http://www.britam.com>

The Group offers a wide range of products and services to individuals, small businesses, corporations and government entities. The range of products includes life insurance, pensions, health insurance, and general insurance through its insurance businesses in the region. The financial solutions which include, unit trusts, investment planning, wealth management, off-shore investments, retirement planning and discretionary portfolio management which are offered through its asset management business. In addition, the company carries out property development, and also has substantial investments in the banking sector. For More information please visit <http://www.britam.com>

2.1 Britam Vision

To be LEADING diversified financial services company in our chosen markets across Africa.

2.2 Britam Mission

Providing you with financial security EVERY STEP OF THE WAY.

3 OVERVIEW OF THE PROPOSAL

3.0 Overview

Suppliers are key stakeholders in the operation of Britam Holdings Plc. Their onboarding process is required to be fair, transparent and competitive devoid of any malpractices as provided for in the Procurement Policy. To achieve this objective, the process of prequalification shall be carried out through a third-party consultant with proven track record in delivery and execution with utmost professionalism.

3.1 Objective of the RFP

The objective of the review is to assess the effectiveness of Britam's IT governance framework in aligning IT strategy with business objectives, managing IT related risks to delivers value to stakeholders, while, ensuring compliance with regulations, and internal policies.

The outcome of this assessment will provide Britam's management and stakeholders with an in-depth understanding of the current state of IT governance and its impact on business operations, as well as guidance on areas needing improvement to achieve our strategic business objectives and regulatory compliance.

3.2 Scope of Work

The scope of work shall entail the below.

1. Alignment of IT Strategy with Business Objectives:

- Evaluate the extent to which IT strategy aligns with Britam's overall business goals and objectives.
- Assess the effectiveness of IT governance mechanisms in ensuring that IT investments support business priorities.

2. IT Risk Management and Mitigation:

- With reference to a risk management methodology, assess Britam's framework and provide a maturity assessment report, while highlighting areas of improvement.
- Identify and assess entity level IT- related risks, information security, and compliance risks.
- Evaluate the effectiveness of risk management processes and controls.
- Recommend strategies for mitigating identified risks.

3. IT Resource Management (personnel, infrastructure, and technology):

- Evaluate of the Britam's IT resource planning processes, including demand forecasting, capacity planning, and resource allocation.
- Assess the adequacy, accuracy and effectiveness of resource planning models.
- High level analysis of resource utilization metrics, such as CPU usage, memory utilization, and storage capacity. Highlight physical IT asset utilization and cost-effectiveness.
- Identification of underutilized or overutilized resources and evaluation (with recommendations) of resource optimization strategies.
- Assess IT spending patterns and cost allocation, based on the current and last two-year budgets. Compare the spend to industry peers. **
- Identification of cost-saving opportunities and evaluate possible cost control measures.
- Review of SLAs to ensure they align with business needs and are achievable.
- Assess the level of SLA compliance and performance.
- Evaluation of Britam's IT asset management practices, including inventory management, lifecycle management, and disposal processes.
- High level assessment of the extent, adequacy and effectiveness in the use of cloud computing and virtualization technologies. With reference to the scope of configuration, security, optimization and monitoring.
- Evaluate the effectiveness of cloud governance, cost management and optimization practices.
- Review Britam's current IT staffing strategy and talent management practices. Identify how effective this strategy has been in meeting the business strategies. Identify gaps that could impede the actualization of technology's role in achieving the business objectives.
- Evaluate the adequacy, rationalization plans and skills of IT staff.
- Review Britam's IT governance framework, including roles, responsibilities, and decision-making processes. Identify if roles have been defined, documented, assigned and effectively mapped with appropriate reporting lines.

4. IT Performance Measurement (Efficiency and Effectiveness of IT Operations):

- Examine the existing metrics (e.g. KPIs) that define, measure, and report IT performance, track progress and identify areas for improvement.
- Evaluate the effectiveness of benefits realization and value management practices for IT investments.
- Assess the efficiency and effectiveness of IT operations, including service delivery, resource utilization, and cost management.
- Identify opportunities for improvement and optimization.

5. Information, Security and Data Governance:

- Review the adequacy of information security policies, procedures, and controls that help enforce ensure the confidentiality, integrity, and availability of data.
- Evaluate the effectiveness of security controls and data protection measures.
- Identify process of identifying and remediate IT security vulnerabilities. Recommend improvements to security posture.
- Review the data governance framework, policies and procedures, data quality management, data privacy and security, and data lifecycle management.

6. Compliance with Regulations and Standards:

- Assess compliance with any relevant IT regulations, industry standards, and best practices.
- Identify areas of non-compliance and recommend corrective actions.

7. Effectiveness of Governance Framework:

- Evaluate the effectiveness of the Britam's IT governance framework, including roles, responsibilities, and decision-making processes.
- Identify areas for improvement and recommend changes to the existing (if any) governance framework.

8. IT Project and Program Management:

- Review existing IT Project governance and control structures.
- Project and Program Planning.
- Project and Program Execution.
- Project and Program Monitoring and Control.
- Portfolio Management.

- Benefits Management.
- Execution and adoption of lessons Learned.

9. IT enterprise architecture and IT departmental structure:

This review should provide valuable insights into the Britam's IT enterprise architecture and departmental structure, and identify opportunities for improvement to enhance efficiency, agility, and alignment with business objectives, through:

- Evaluation of the organization's current IT enterprise architecture, including its components, relationships, and principles. Identify, with recommendations, gaps and inconsistencies in the current IT enterprise architecture.
- Assess the alignment of the IT enterprise architecture with the business strategy and objectives.
- Assessment of the IT departmental structure, including roles, responsibilities, and reporting relationships.
- Evaluate the effectiveness of the departmental structure in supporting the IT strategy and goals.
- Identify of areas for improvement, such as consolidation, reorganization, or specialization.
- Map business capabilities to IT capabilities to identify alignment between business needs and IT services. Identification of gaps or misalignments.
- Evaluate Britam's technology roadmap, identify if it supports the IT enterprise architecture and business strategy. Identify and communicate areas for investment and modernization.

10. IT policies and procedures (vs. Standards and Best Practices):

- Review existing IT policies, procedures, operation manuals, checklists, logs, etc, and provide an opinion on level of maturity.
- Assess compliance with relevant IT standards and best practices, such as TOGAF, Zachman Framework, or COBIT.
- Identify and document areas for improvement.

3.3 Our preferred methodologies:

Below are the recommend methodologies the successful provider is expected to have a practical understanding and demonstrate experience in at least one or a combination of these methodologies:

- COBIT (Control Objectives for Information and Related Technology)
- ITIL (Information Technology Infrastructure Library)
- TOGAF (The Open Group Architecture Framework)
- Zachman Framework
- CMMI (Capability Maturity Model Integration)

3.4 Project Deliverables:

Upon execution of the assessment(s), the vendor will be required to provide the following.

- Stage reporting as per agreed milestones and timelines.
- Draft and final reporting detailing the observations, risks/ implications, risk ratings and practical recommendations.
- Draft report for consumption by non-technical management, IT and risk board(s).
- Final presentation to internal stakeholders and management.

3.5 Project timelines:

Proposed total execution time of eight weeks.

3.6 Technical Proposal

Potential respondent to provide the following **mandatory** information.

- I. **Company Profile:** Document detailing the company including its background, Products & services, clients and expertise
- II. **Project execution Plan:** Comprehensive and clear project execution plan with timelines for each activity.
- III. **Project Team:** Documentation detailing the proposed project team including the Professional qualifications, experience and role.
- IV. **Project governance structure:** document detailing the Respondent project governance structure detailing the escalation matrix, risk management and problem management policy.
- V. **References:** Potential vendor to provide references and summary of similar jobs undertaken in last 3 years. The references should show the details of the project baseline and actual timelines, project scope and project outcomes.

3.7 Financial Proposal

- I. Provide competitive financial proposal detailing the following (please include applicable taxes);
 - o Total Costs (including any facilitation and disbursement costs)

4 FORMAT OF RESPONSE TO TENDER

4.0 MANDATORY Information to be provided by bidders

All bids should contain **ALL INFORMATION REQUESTED IN SECTIONS 4.1 TO 4.5**. The information should be in the following order.

4.1 General Information about the firm

Provide the following documentation in respect of your company.

- (i) **Certificate of registration** (or its equivalent) that is valid in accordance with any legally recognised jurisdiction
- (ii) **Tax compliance certificate** (or its equivalent) that is valid in accordance with any legally recognised jurisdiction
- (iii) Current County **Trade license/Business permit**
- (iv) **Accreditations** or a licence where applicable
- (v) **Company Profile**, with a clear **organogram** and area of speciality
- (vi) List of **Directors** (Name, ID Number/passport number, Nationality, Telephone and physical address)
- (vii) Britam **Non-Disclosure Agreement** (document to be provided to accompany this RFP)
- (viii) Britam **Supplier Code of Conduct** (document to be provided to accompany this RFP)
- (ix) Britam Business Litigation and Probity; and Lead Time and Credit Period Declaration Form (document to be provided to accompany this RFP).

4.2 Bid Preparation and Submission

RFP – Provision of Britam Holdings IT Governance Review Services

All Tenders may also be posted/ delivered earlier than the deadline to the below email:

tenders@britam.com

with a clear subject line "*RFP – Provision of Britam Holdings IT Governance Review Services*"

Offers must be submitted in two separate documents, 1(one) technical- and 1 (one) commercial bid, **password protected** and clearly identified as:

The file with the technical proposal should be identified as follows:

**NAME OF THE COMPANY, TECHNICAL PROPOSAL FOR RFP –
PROVISION OF PROVISION OF BRITAM HOLDINGS IT GOVERNANCE
REVIEW SERVICES**

The file with commercial proposal should be identified as follows:

NAME OF THE COMPANY, COMMERCIAL / FINANCIAL PROPOSAL

5 GENERAL CONDITIONS OF CONTRACT

5.1. Introduction

Specific terms of contract shall be discussed with the bidder whose proposal will be accepted by the Company. The resulting contract shall include but not be limited to the general terms of contract as stated below from 5.2 to 5.14.

5.2. Award of Contract

Following the opening and evaluation of proposals, the Company will award the Contract to the successful bidder whose bid has been determined to be substantially responsive and has been determined as the best evaluated bid. Britam will communicate to the selected bidder its intention to finalize the draft conditions engagement in consultation with the bidder

5.3. Application of General Conditions of Contract

These General Conditions (sections 5.2 to 5.14) shall apply to the extent that they are not superseded by provisions in other parts of the Contract that shall be signed.

5.4. Bid Validity Period

Bidders are requested to hold their proposals valid for ninety (90) days from the closing date for the submission.

5.5. Non-variation of Costs

The prices quoted for the service and subsequently agreed and into the contract shall be held fixed for the contract period.

5.6. Delays in the Bidder's Performance

- 5.6.1. Delivery and performance of the Transaction shall be made by the successful Bidder in accordance with the time schedule as per Agreement.
- 5.6.2. If at any time during the performance of the Contract, the Bidder should encounter conditions impeding timely delivery and performance of the Services, the Bidder shall promptly notify the Company in writing of the fact of the delay, its likely duration and its cause(s). As soon as practicable after receipt of the Bidder's notice, the Company shall evaluate the situation and may at its discretion extend the Bidder's time for performance, with or without liquidated damages, in which case the extension shall be ratified by the parties by amendment of the Contract.

- 5.6.3. Except in the case of "force majeure" as provided in Clause 5.14, a delay by the Bidder in the performance of its delivery obligations shall render the Bidder liable to the imposition of liquidated damages pursuant to Clause 5.7.

5.7. Liquidated damages for delay

The contract resulting out of this RFP shall incorporate suitable provisions for the payment of liquidated damages by the bidders in case of delays in performance of contract.

5.8. Governing Language

The Contract shall be written in the English Language. All correspondence and other documents pertaining to the Contract which are exchanged by the parties shall also be in English language.

5.9. Applicable Law

This agreement arising out of this RFP shall be governed by and construed in accordance with the laws of Kenya and the parties submit to the exclusive jurisdiction of the Kenyan Courts.

5.10. Successful Bidder's Obligations

The successful bidder:

- 5.10.1. Is obliged to work closely with Britam staff, act within its own authority, and abide by directives issued by the Company that are consistent with the terms of the Contract.
- 5.10.2. Will abide by the job safety measures and will indemnify the Company from all demands or responsibilities arising from accidents or loss of life, the cause of which is the Bidder's negligence. The Bidder will pay all indemnities arising from such incidents and will not hold the Company responsible or obligated.
- 5.10.3. Will be responsible for managing the activities of its personnel, or subcontracted personnel, and will hold itself responsible for any misdemeanours.

5.10.4. Will not disclose the Company`s information it has access to, during the course of the work, to any other third parties without the prior written authorization of the Company. This clause shall survive the expiry or earlier termination of the contract

6 BRITAM SUPPLIER CODE OF CONDUCT

6.1 GENERAL

This Code is applicable to all Britam suppliers (hereinafter “Supplier” or “Suppliers”) and their employees (be they temporary, casual or permanent) and sub-contractors throughout the world. Britam requires all Suppliers to conduct their business dealings with Britam in compliance with this Code and in compliance with all laws applicable to the Supplier’s business, wherever conducted. By entering into business transactions with Britam, the Supplier agrees to abide by the terms of this Code and acknowledge that compliance with this Code is required to maintain the Supplier’s status as a Britam Supplier. Britam shall have the right to terminate any Supplier’s contract for failure to comply with the provisions of this Code. Britam recognizes that local laws may in some instances be less restrictive than the provisions of this Code. In such instances Suppliers are expected to comply with the Code. If local laws are more restrictive than the Code, then Suppliers are expected to comply with applicable local laws.

6.2 PROVISIONS

In particular, Suppliers must comply with the following:

6.2.1 Relations with competitors

Suppliers will be required to comply with applicable antitrust or competition laws and will not engage in any restrictive trade practices. Suppliers will at all times act in a manner that will uphold and encourage healthy competition.

6.2.2 Bribes, Conflicts of Interest, Gifts and other Courtesies

6.2.2.1 Bribes

Suppliers shall not make or offer bribes or payments of money or anything of value to any Britam employee or any other person including officials, employees, or representatives of any government or public or international organisation, or to any other third party for the purpose of obtaining or retaining business with Britam. For the avoidance of doubt Britam considers an act of bribery to include the giving of money or anything of value to anyone where there is belief that it will be passed on to a government official or Britam employee

for this purpose. Suppliers are required to comply with all applicable local anti-bribery laws.

6.2.2.2 Gifts and other business courtesies

Suppliers shall ensure that any expenditure incurred in relation to any particular Britam employee or government official is in the ordinary and proper course of business and cannot reasonably be construed as a bribe or so as to secure unfair preferential treatment. A general guideline for evaluating whether a business courtesy is appropriate is whether public disclosure would be embarrassing to the Supplier or Britam.

Britam employees may accept unsolicited gifts from Suppliers provided:

- they are items of nominal value – Kes1500 or less, or
- they are advertising or promotional materials having wide distribution e.g. calendars, stationaries, diaries, etc.; and
- Acceptance of the gift does not violate any applicable law.

6.2.2.3 Conflicts of Interest

No supplier shall enter into a financial or any other relationship with a Britam employee that creates a conflict of interest for Britam. A conflict of interest arises when the material personal interests of the Britam employee are inconsistent with the responsibilities of his/her position with the company. All such conflicts must be disclosed and approval to the transaction given.

6.2.3 Compliance and implementation

6.2.3.1 Licenses and Returns

The Supplier will be required to obtain and renew, in accordance with any law or regulations all permits, licenses and authorizations required for it to carry out its business. In addition, the Supplier will

be required to prepare and file any returns that it may be required to file under its incorporation statute, the Companies Act.

6.2.3.2 Taxation, Financial Integrity and Retention of Records

- The Supplier will comply with all revenue laws and will not evade tax.
- Suppliers will be required to maintain accurate and reliable financial and business records and shall not have any false or inaccurate accounting books or records related to Britam for any reason. Suppliers shall maintain all business records at the minimum in compliance with the provisions outlined by the Kenya Revenue Authority or local revenue authorities from time to time.
- When any government investigation or audit is pending or ongoing then Suppliers will not destroy any relevant records until the matter has been investigated and closed.

6.2.4 Violations

If a Supplier becomes aware of any known or suspected improper behaviour by another Supplier in relation to their dealings with Britam or if a bribe or other inducement is requested from a Supplier by any Britam employee or any other person with the promise of influencing Britam's position as far as that Supplier is concerned or if the Supplier feels that a conflict of interests exists with one of Britam's employees then all pertinent details should be reported in confidence to the following Contact Address

Procurement procurement@britam.com

6.2.5 Variations

Britam reserves the right to vary this Code at any time.

