

REQUEST FOR QUOTATION FOR LOW-VALUE GOODS/SERVICES

DATE: 18 January 2022

SUBJECT: Request for Quotation on for provision of Information Security Management System (ISMS) certification services for the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan for the compliance with the requirements of the ISO/IEC 27001:2013 and issuance of certificate of compliance.

REF: RFQ/005/22 for provision of Information Security Management System (ISMS) certification services for the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan for the compliance with the requirements of the ISO/IEC 27001:2013 and issuance of certificate of compliance.

DEADLINE: by 18:00 (Tashkent time) on February 10, 2022

Dear Sirs,

We kindly request that you provide a quotation for the services described below.

Subject: RFQ/005/22 provision of Information Security Management System (ISMS) certification services for the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan for the compliance with the requirements of the ISO/IEC 27001:2013 and issuance of certificate of compliance.

Background

With a view to implement the Law of the Republic of Uzbekistan dated January 8, 2018 No. ZRU-457 "On administrative procedures", Decrees of the President of the Republic of Uzbekistan dated September 8, 2017 No. UP-5185 "On approval of the Concept of administrative reform in the Republic of Uzbekistan", dated December 12, 2017 No. UP -5278 "On measures to radically reform the national system of providing public services to the population", dated May 27, 2019 No.UP-5729 "On measures to further improve the fight against corruption in the Republic of Uzbekistan", dated January 31, 2020 No.UP-5930 "On additional measures to accelerate the development of the national system for the provision of public services", dated March 23, 2021 No.UP-6191 "On additional measures to further create favorable conditions for the population and business entities when using public services, reduce bureaucratic barriers in this direction", resolutions of the President of the Republic Uzbekistan dated December 9, 2019 No. PP-4546 "On measures to further reduce bureaucratic barriers and the introduction of modern management principles in the activities of state bodies and organizations", dated February 15, 2019 No. PP-4193 "On measures for the further comprehensive development of the national system for the provision of public services", Resolution of the Cabinet of Ministers of the Republic of Uzbekistan "On measures to introduce quality management systems that meet international standards" dated July 22, 2004 No. 349, as well as the Work Plan for 2021 of the joint project of the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan, the United Nations Development Program and the

European Union "Improving the provision of public services and improving the level of governance in rural areas of Uzbekistan" the UNDP hires the certification organ for the provision of information security management system (ISMS) certification services for the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan for the compliance with the requirements of the ISO/IEC 27001:2013 and issuance of certificate of compliance.

These Terms of Reference set forth the main phases of works, their content, scope of responsibilities, reporting, outcomes and requirements to the supplier at providing services on information security management system certification in the Central Office, 5 regional departments (Tashkent, Syrdarya, Jizzakh, Kashkadrya and Surkhandarya provinces) and 5 centers (cities of Nurafshan, Khavast, Bakhmal, Dehkanabad, and Shurchi) of the Public Services Agency (hereinafter – the Client) in accordance with the requirements of ISO 27001:2013.

All qualification requirements to the certification body (hereinafter – the Contractor) must comply with or exceed the minimum requirements specified in these Terms of Reference.

Upon successful completion of the certification audit, an additional agreement shall be concluded with the Contractor to issue the certificates of compliance according to international standard ISO 27001:2013.

	Total	
Objects	Number	Main operations/ Activities at the site
00)2013	of	Main operations/ Activities at the site
	personnel	
Central Adminitration	83	Management of the provision of public
		services
Territorial Administration, Tashkent region	54	Management of the provision of state services
		in the territory
Territorial Administration, Jizzakh region	26	Management of the provision of state services
		in the territory
Territorial Administration of Syrdarya region	26	Management of the provision of state services
		in the territory
Territorial Administration of Surkhandarya	39	Management of the provision of state services
Region		in the territory
Territorial administration, Kashkadarya region	34	Management of the provision of state services
		in the territory
Center for Public Services, Nurafshon City	5	Provision of public services
Center for Public Services, Khovos District	6	Provision of public services
Center for Public Services, Bakhmal District	6	Provision of public services
Public Services Center, Dehkanabad region	5	Provision of public services
Center for Public Services, Shurchinsky District	10	Provision of public services

1. Reference Information

1.1. Offices and divisions that go to certification, the number of personnel, the scope of certification.

Organization works in non-critical business sectors and nonregulated

1.3. Process and tasks

Standard processes with standard and repetitive tasks; lots of persons doing work under the organization's control carrying out the same tasks; few products or services

1.4. Level of establishment of the MS

Some elements of other management systems are implemented, others not

1.5. IT infrastructure complexity

Many different IT platforms, servers, operating systems, databases, networks

1.6. Dependency on outsourcing and suppliers, including cloud services

Some dependency on outsourcing or suppliers, related to some but not all important business activities

1.7. Information System development

Extensive in-house or outsourced system/application development for important business purposes

2. Certification objectives

- 2.1. Information security management system's certification audit for the compliance with international standards' requirements allows the Public Services Agency to obtain an independent confirmation of compliance with the requirements of the international standard ISO 27001:2013.
- 2.2. Public Services Agency upon receiving the certificate of compliance with the requirements of international management standard ISO 27001:2013, actually obtains an independent confirmation of the quality of provided services in accordance with consumer requirements, guarantee of manageability of processes and activities of units, guarantee of transparency of interaction, guarantee of control over various types of risks and guarantee of continuous improvement of the management system, and of the quality of services.

3. Requirements to the Contractor

- 3.1. Availability of internationally recognized accreditation in the IAF system (certificate and scope of accreditation). Link to the Contractor's name on the accreditation body's website.
- 3.2. Availability of Contractor's international accreditation in management system certification ISO 27001:2013. The issuance of international certificate. Link to the accreditation sphere on Contractor's web site.
- 3.3. Availability of agreement between the local legal entity (representative/ contractor/ organizer) and foreign certification body. Link to the Contractor's web site.
- 3.4. Availability of national accreditation in management systems certification. Issuance of the national certificate.
- 3.5. The Contractor must be impartial, independent from the Client and free from conflicts of interest. The Contractor must ensure that its judgments are objective at all times during the audit to provide for that the outcomes of the audit and the audit conclusions are based only on the evidence and information obtained in the course of the upcoming work.
- 3.6. Lack of negative reviews/accusations of corruption in the media about the Contractor. Absence of such information when searching on the Internet.
- 3.7. The recognized auditing competence of the proposed auditors for the upcoming certification (IRCA or IPC) with the provision of copies of the documents.

3.8. The Contractor must provide conditions which guarantee confidentiality of information received during the fulfilment of its functions.

4. Requirements to the service delivery

- 4.1. Information security management system (ISMS) certification service delivery for the Public Services Agency for the compliance with the requirements of international standard ISO 27001:2013 shall include the following:
 - the Contractor's documents analysis on introduced information security management system (ISMS);
 - verification of addressing non-conformities identified during the certification audit, if any;
 - certification audit of information security management system for the compliance with the requirements of international standard ISO 27001:2013;
 - if non-conformities are not found and the certification audit has positive outcomes, confirmation of compliance of the introduced information security management system with the requirements of the international standard ISO 27001:2013. If the decision on compliance of the information security management system with the requirements of declared standards is positive, issue and registration of the certificate of compliance.

After the certification audit of the information security management system for the compliance with the requirements of the international standard ISO 27001:2013 there must be completed the following phases:

- confirmation of compliance The first supervisory audit of the information security management system;
- confirmation of compliance The second supervisory audit of the information security management system.
- 4.2. The Contractor shall perform the following:

Phase 1.

- analysis of available with the Client documentation on the quality of information security management system of the Public Services Agency for the compliance with the requirements of the international standard ISO 27001:2013;
- analysis of the actual completion of quality management procedures at functional and production units of the Client including the following elements:
- organizational and functional structure structure of units, their functions and distribution of roles and responsibilities;
- strategic and operational management process;
- main activity process;
- activity ensuring processes;
- documented information management process;
- internal management reporting system;
- regulatory and legislative framework (provisions on activity of the Client and its units, rules and procedures, methodical documents, etc.);
- results analysis of earlier conducted studies on quality of information security management system of the Public Services Agency for the compliance with the requirements of the international standard ISO 27001:2013 (if required);
- preparedness assessment for the certified audit.

Phase 2.

- evaluating the compliance of information security management system of the Client including the processes, procedures and service provision conditions with all applicable requirements of the international standard ISO 27001:2013;
- assessment of information security management system performance and its ability to achieve the set objectives within implementation of the Client's policy on information security management system;
- assessment of the level of performing by the Client of mandatory procedures and other regulated requirements related to its production activity.

Phase 3.

- evaluation of actions to address non-conformities identified during the audit and of planned corrective and preventive actions (if necessary);
- based on outcomes of the conducted analysis to draw up a final written conclusion containing the objective evaluation of the Client's activity for the compliance with the requirements of standard and to conduct the certification of information security management system with issuing the certificate of compliance of information security management system with the requirements of the international standard ISO 27001:2013, and register the Client's information security management system in the Registry of a body on certification and issue of the certificates of compliance;
- the body on certification and issue of the certificates of compliance shall provide the decision to conduct the certification audit that is issued on the basis of the act on carrying out the certification audit.

Phase 4.

- carrying out the follow up two supervisory audits.
- 4.3. Upon completion of the certification audit the following package of documents shall be provided:
 - Certification audit completion report;
 - Decision of the body on certification based on certification audit outcomes;
 - At the positive outcome, the certificates confirming the compliance with the requirements of the international standard ISO 27001:2013 of national and international samples in English, Russian and Uzbek languages.
 - Authorization to use the mark of the certification system.

5. Responsibilities of the Client

- 5.1. The Client shall ensure the engagement of organization's personnel (from the management to the technical staff), vesting them with authorities and distributing the responsibilities, required for the interaction with the Contractor's auditors.
- 5.2. The Client shall provide the following data:
 - information on structure and interaction of units within the existing management system at the Client's enterprise;
 - necessary data on the main and auxiliary types of activity, required for the audit, in

compliance with requirements regarding the confidentiality and provisions of the Client's Charter.

 access to the documentation of the information security management system of the Public Services Agency.

6. Responsibilities of the Contractor

- 6.1. The Contractor is responsible for the planning and carrying out the audit in accordance with the contract requirements.
- 6.2. Timely notification of the Client on identified non-conformities to allow taking the quality and prompt appropriate agreed measures.
- 6.3. Reporting on the audit results.
- 6.4. At the positive audit result and information security management system assessment, to formalize and issue in the established procedure the certificates of compliance.

7. Timeframe and duration

- 7.1. Date of starting the work: within 10 working days from the date of contract signing.
- 7.2. Date of completion of the work on primary certification according to the program and plan of the audit to be prepared by the Contractor, but no later than 90 calendar days after signing the contract by both parties.
- 7.3. Completion dates for the works on supervisory audits in accordance with the audit program and the contract for the validity period of the certificate.

8. Payment

8.1. The payment for the certification services will be performed in accordance with the established UNDP rules and procedures.

Outcome	Share from the total contract amount	Deadline
Preliminary audit Documentation analysis of the introduced information security management system and assessment of preparedness for the certification audit.	10% of the total contract amount	After 45 calendar days from the date of contract signing
Certification audit	40% of the total	After 180 calendar days from the
Certification audit results	contract amount	date of contract signing
Supervisory audit #1	25% of the total	One year after the issue of the
Results of the supervisory audit	contract amount	certificate
Supervisory audit #2	25% of the total	Within the last year of 3-year
Results of the supervisory audit	contract amount	validity period of the certificate.

8.2. The cost of services shall include all overhead (travel) and other expenses associated with the visit

of Contractor's staff to the Client's facilities.

- 8.3. The cost of certification services shall include all additional costs associated with the certification of the Client for the entire period of validity of the certificate of compliance.
- 8.4. The cost of services for issuing certificates of compliance shall include all additional costs associated with the production of copies (duplicates) and transportation of the original certificates of compliance for the Client's needs.

9. Organization of the bidding competition

9.1. The bidding competition shall be organized and carried out under the established UNDP rules and procedures.

A. Cost Breakdown per Deliverable*

Out puts	Activity/Output	Payment Structure	Price (indicate currency) (The total amount)
The p	ayments shall be made to the banking account in the following	g order:	
1.	Result No. 1 Documentation analysis of the introduced information security management system and assessment of preparedness for the certification audit.	10%	
2.	Result No. 2 Certification audit results Certification audit results	40%	
3.	Result No. 3 Supervisory audit #1 Results of the supervisory audit	25%	
4.	Result No. 4 Supervisory audit #2 Results of the supervisory audit	25%	
	TOTAL	100%	
	V. VAT (if applicable for companies registered in the Republic of Uzbekistan)		
The p	ayments shall be made to the banking account in the following	g order:	
Pavm	ent will be proceeded by output bases by bank transfer duri	ng 30 calenda	r days to the account of

Payment will be proceeded by output bases by bank transfer during 30 calendar days to the account of a Contractor in accordance with the Breakdown of Costs, upon completion of the works and following terms:

- a) A written document of acceptance by UNDP of Outputs 1, 2, 3 and 4.
- b) Receiving of the invoice for payment of Vendor
- c) The signing by the parties of documents confirming the completion of the contractual obligations and the adoption of UNDP.

*This shall be the basis of the payment tranches, whether there are discrepancies between the total amount specified in tables A and B, in that case the price rate indicated in table (A) will be prevalent.

B. Cost Breakdown by Cost Component:

Description of Activity	Remuneration per Unit of Time	Total Period of Engagement	No. of Personnel	Total Rate
I. Personnel Services				
1. Services of attracted Expertise				
a. Expertise Services 1				
b. Expertise Services 2				
2. Services from Overseas (if required)				
a. Expertise Services 1				
b. Expertise Services 2				
II. Out of Pocket Expenses				
1. Travel Costs				
2. Daily Allowance including				
accommodation				
III. Other Direct Related Costs				
(translation, printing and other)				
IV. Overhead expenses (no more 3,5%)				
V. VAT (if applicable for companies				
registered in the Republic of Uzbekistan)				

Notes:

- 1. Price includes direct and indirect costs.
- 2. Site survey of Bidder's office will be arranged on request (as applicable)

The UNDP General Terms and Conditions are an integral part of this RFQ and should be reviewed by all bidders.

http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html.

In submitting a quotation, bidders expressly accept to be bound by these General Terms and Conditions.

Any Purchase Order resulting from this process shall incorporate them in full.

Please submit your quotation by completing the right column of the form below:

UNDP Requirements [to be filled out by Buyer]	Bidder's Response
Validity of Offer:	🗆 Yes
🛛 90 days	🗆 No
In exceptional circumstances, UNDP may request the Vendor to extend the validity of the Quotation beyond what has been initially indicated in this RFQ. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Quotation.	Please explain in case of "No":
Documents to be submitted:	□ Yes
1. Internationally recognized accreditation in the IAF system	□ No

(certificate and scope of accreditation). Link to the Contractor's name on the accreditation body's website.		□ Please explain in case of "No":
2. International accreditional accredition of the second s		
3. Copy of agreement b (representative/ contra body. Link to the Contra		
4. Latest Business Regis	tration Certificate.	
5. Copy of the page from on company founders is	m company's Charter where the information s provided.	
Payment Terms:		□ Yes □ No
Dollars by bank transfer	s, for Foreign Suppliers will be paid in US during 30 calendar days according to the and acceptance of outputs	□ Please explain in case of "No":
Outcome	Share from the total contract amount	
Result No. 1	10% of the total contract amount	
Preliminary audit		
Result No. 2	40% of the total contract amount	
Certification audit		
Result No. 3	25% of the total contract amount	
Supervisory audit #1		
Result No. 4	25% of the total contract amount	
Supervisory audit #2		
🛛 Local Currency: Uzbe	ek Soums (UZS), for Local Suppliers will be	
paid in Uzbek Soums by	bank transfer during 30 calendar days	
according to the output	s upon delivery and acceptance of outputs	
Outcome	Share from the total contract amount	
Result No. 1	10% of the total contract amount	
Preliminary audit		
Result No. 2	40% of the total contract amount	
Certification audit		
Result No. 3	25% of the total contract amount	
Supervisory audit #1		
Result No. 4	25% of the total contract amount	
Supervisory audit #2		
VAT terms:		□ Yes □ No
Must be exclusive of VAT for foreign companies registered outside of Uzbekistan		□ Please explain in case of "No":
Must be inclusive of Uzbekistan (if registered)		

Delivery terms:		□ Yes
Outcome	Deadline	□No
Result No. 1 Preliminary audit	After 45 calendar days from the date of contract signing	Please explain in case of "No":
Result No. 2	After 180 calendar days from the date	
Certification audit	of contract signing	
Result No. 3	One year after the issue of the	
Supervisory audit #1	certificate	
Result No. 4	Within the last year of 3-year validity	
Supervisory audit #2	period of the certificate.	
All documentations, in manuals, shall be in:	All documentations, including catalogs, instructions and operating manuals, shall be in:	
🛛 English or Russian		Please explain in case of "No":
🗆 French		
Spanish		
□ Others		
Liquidated Damages:		□ Accept
□ Will not be imposed		Does not accept
Will be imposed under the following conditions:		Please explain in case of "Does not accept":
0,5% of total contract amount for every day of delay, up to a		Does not accept .
maximum 10% of the co		
delay, whichever occur		
-	r company is not included in the UN	□ Not listed
Security Council 1267/1989 list, UN Procurement Division List or		🗆 Listed
other UN Ineligibility List;		Please explain in case of
		"Listed":
Please confirm that you accept the UN Supplier Code of Conduct,		□ Accept
available at https://www.un.org/Depts/ptd/about-us/un-supplier-		Does not accept
<u>code-conduct</u>		\Box Please explain in case of
		"Does not accept":
Occupational Health, Safety and Environment		□ Accept
The contractor is responsible for the performance of work in		Does not accept
accordance with the legislation in the field of health, safety and		□ Please explain in case of
environmental protection of the Republic of Uzbekistan		"Does not accept":

Yes	No	
		Requirements and Terms and Conditions: I/We have read and fully understand the RFQ, including the RFQ Information and Data, Schedule of Requirements, the General Conditions of Contract, and any Special Conditions of Contract. I/we confirm that the Bidder agrees to be bound by them.
		I/We confirm that the Bidder has the necessary capacity, capability, and necessary licenses to fully meet or exceed the Requirements and will be available to deliver throughout the relevant Contract period.
		Ethics : In submitting this Quote I/we warrant that the bidder: has not entered into any improper, illegal, collusive or anti-competitive arrangements with any Competitor; has not directly or indirectly approached any representative of the Buyer (other than the Point of Contact) to lobby or solicit information in relation to the RFQ ;has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the Buyer.
		I/We confirm to undertake not to engage in proscribed practices, , or any other unethical practice, with the UN or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the UN and we have read the United Nations Supplier Code of Conduct : <u>https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct</u> and acknowledge that it provides the minimum standards expected of suppliers to the UN.
		Conflict of interest: I/We warrant that the bidder has no actual, potential, or perceived Conflict of Interest in submitting this Quote or entering a Contract to deliver the Requirements. Where a Conflict of Interest arises during the RFQ process the bidder will report it immediately to the Procuring Organisation's Point of Contact.
		Prohibitions, Sanctions: I/We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium members or subcontractors or suppliers for any part of the contract is not under procurement prohibition by the United Nations, including but not limited to prohibitions derived from the Compendium of United Nations Security Council Sanctions Lists and have not been suspended, debarred, sanctioned or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization.
		Bankruptcy : I/We have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against them that could impair their operations in the foreseeable future.
		Offer Validity Period: I/We confirm that this Quote, including the price, remains open for acceptance for the Offer Validity.
		I/We understand and recognize that you are not bound to accept any Quotation you receive, and we certify that the goods offered in our Quotation are new and unused.
		By signing this declaration, the signatory below represents, warrants and agrees that he/she has been authorised by the Organization/s to make this declaration on its/their behalf.

We request your duly signed and sealed price quotation in a company letterhead and additional details as outlined, latest by **18:00 (Tashkent time)** on **10 February 2022.**

Bid must be submitted electronically in .pdf format to <u>bids.uz@undp.org</u>¹. Quotation submitted by email must be limited to a maximum size of 15 MB, virus-free and consist of no more than 3 email transmissions. Otherwise, such quotations will be rejected.

Your bid should contain the following reference either on the envelope or email subject:

RFQ/005/22 for provision of Information Security Management System (ISMS) certification services for the Public Services Agency under the Ministry of Justice of the Republic of Uzbekistan for the

¹ Quotations submitted to other e-mail addresses will not be accepted and will be rejected.

compliance with the requirements of the ISO/IEC 27001:2013 and issuance of certificate of compliance².

Please follow these instructions and be mindful of deadlines. Bids submitted through other means or to other addresses will not be accepted.

UNDP will consider an award to the quotation which complies with all requirements in full and offers the lowest price. UNDP reserves the right to conduct post qualification exercise by requesting additional documents/clarifications/information if deemed necessary.

Any offer that does not meet requirements shall be rejected. UNDP is under no obligation to accept any bid.

Any request for additional information or queries must be sent/addressed to Procurement Unit three business days prior to the deadline in writing to <u>pu.uz@undp.org</u>.

² Quotations that do not contain the specified subject or reference to the tender number in the subject line of e-mail message or on the envelope will not be opened and will be rejected.