

Terms of Reference (ToRs)

“Individual Consultant to Develop Software for Internal Audit & Risk Tracking Solution.”

Background

The Common Management Unit (CMU) for managing three diseases AIDS, Tuberculosis & Malaria has secured Global Fund Grant for the period 2018-2020. The Internal Audit Unit at CMU is responsible to carryout Risk based audits for all the implementation entities i.e. PR, SRs and SSRs.

CMU, through funding support of Global Fund, intends to hire a suitable short-term individual consultant, to develop the Internal Audit and Risk Tracking Solution.

Scope and Objective

The objective of this consultancy is to automate the available Risk Registers for proactively tracking, monitoring and obtaining mitigation action plans from the management. Also, with the automation of internal audit function, the IA unit will be able to effectively plan, conduct and generate reports in order to track implementation of various Audit recommendations.

Software Features

Following shall be the minimum required features of software:

I- Internal Audit -Module

- Develop a database for Audit findings, risk levels, audit recommendations and management responses along with timelines
- Complete dashboard analysis (entity level, risk level)
- Development of a Risk based Audit plan
- Working papers management
- Capable of adding, deleting, modifying the contents of audit reports
- Keep track of the recommendations against each finding and relevant timeline
- Option to attach documents (Word, Excel, PDF etc.)
- Friendly user interface
- Ability to generate tailored reports pertaining to Internal Audit
- Option of importing and exporting MS Word, MS Excel and MS Power point files
- Reporting, filtering and printing options
- Audit Recommendation implementation, tracking and reporting.
- Well defined user access rights of read, write, report at specified fields/pages.
- Maintaining user log.

II_ Risk Assessment and Tracking -Module:

- Risk Database form with fields (risk description, department, function, risk likelihood, risk impact, risk score, management response, risk Score and analysis).
- Risk dashboard with all analysis (entity level, risk wise, score wise, rating etc.)
- Identification of risks at Organizational, Departmental and Function levels.
- Capable of adding deleting modifying the Risks specifically and Registers generally.
- Provision of timelines for implementation of risk mitigation actions
- Keep track of actual implementation status / follow up on implementation of risk mitigation actions
- Development and maintenance of Risk Database.
- Option to attach documents (word, Excel, PDF etc.)
- Comparison of Risk and Controls Assessment and evaluation of Residual Risk
- Easy to use Graphic Interface
- Ability to generate tailored reports pertaining to Risks and Internal Controls
- Option of importing MS Word, MS Excel and MS Power point files
- Reporting, filtering and printing options
- Risk Mitigation tracking and reporting.
- Well defined user access rights of read, write, report at specified filed/pages.
- Option for exporting the fed data from the Software and its conversion in MS, Word or MS Excel
- Maintain user log.

Proposed Methodology

To develop the Internal Audit and Risk tracking Solution through “Water fall approach” and performing the following steps.

- Requirement gathering
- Software architecture
- Software implementation
- Verification of the implemented software/testing (Piloting)
- Maintenance

Training

The consultant will be required to impart training on the software to the staff members of internal audit unit to ensure that they understand its working, Graphical User Interface and Report Generation functions.

- Venue: CMU Conference Hall-Islamabad
- No. of participants: 10 Maximum
- Three complete days for Internal Audit
- Three complete days for Risk Tracking

Deliverables

- Develop an Internal Audit & Risk Tracking Solution
- Complete Data uploading
- Training of Audit staff

Time Frame

Total period for completion of consultation: **120 Working days**

Estimated Cost of the consultancy

The total budget allocated for the local individual consultant is Rs. 1,200,000/- (Rs. 600,000 for Internal Audit & Rs. 600,000 for Risk tracking solution). This cost is inclusive of all taxes and any travelling involved, during the course of the consultancy.

Fees and Payments Schedule

Payments shall be made as per following schedule:

At the time of signing of contract	15%
Submission of Beta version of software – Risk Tracking Solution	10%
Completion of Data uploading and testing – Risk Tracking Solution	15%
Submission of Beta version of software – Internal Audit Solution	10%
Completion of Data uploading and testing – Internal Audit Solution	15%
Completion of training of Audit staff	15%
Final Acceptance/Completion Certificate from Internal Audit	20%

Skills and Qualifications Required

- Minimum Bachelor's degree in Computer Sciences or Software Engineering Degree.
- At least 07-years of demonstrated professional experience in software development.
- Solid and demonstrable knowledge and understanding of relevant technical areas/issues.
- Ability to analyze, interpret and synthesize information from a number of sources to generate final deliverable.
- Ability to meet deadlines.

Selection Criteria

The selection of the consultant will be made on the basis of following criteria.

Phase-I based on qualification, work experience and No. of projects where a minimum of 55 marks shall be required out of 70 to qualify for Phase-II.

Phase-II shall consist of Interview and practical demonstration of existing software having similar features.

Overall top scorer will be awarded the consultancy contract.

S. No.	Factors of evaluation	Score Allocation
Phase-I (Total Marks 70)		
01	Qualification (Computer science or software engineering)	Total 20 marks 20 marks = Master's degree 10 marks = Bachelor degree,
02	Working Experience (Software Development)	Total 30 marks 07 years =20 marks Above 7 year, each year =1 mark
03	No. of relevant Projects completed (Desktop Applications/Cloud based Software's)	Total 20 marks 03 projects = 10 marks Above 3 projects, each project =1 mark
Phase-II (Total Marks 30)		
04	Interview regarding their projects and demonstration of existing software having similar features as required.	Total 30 marks