

INVITATION

for

EXPRESSION OF INTEREST

**Design, Development, Installation and Commissioning
of
Financial Information Unit Intelligence System Software
(FIUISS)**

Nepal Rastra Bank
(The Central Bank of Nepal)
General Services Department
Baluwatar, Kathmandu, Nepal

September 2011

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Nepal Rastra Bank
General Services Department
Baluwatar, Kathmandu, Nepal
Request for the Expression of Interest (EoI)

First date of Publication: 17 September 2011

**Last date of Submission: 31st day of the first
date of the publication (before 14:00 hrs NST).**

Project: Design, Development, Installation and Commissioning of Financial Information Unit Intelligence System Software (FIUISS) for Nepal Rastra Bank.

Financing: Budget of Nepal Rastra Bank (NRB)

Financial Information Unit (FIU) was established within NRB in accordance with the section 9 of the "Sampati Suddhikaran (Money Laundering) Nibaran Ain, 2064" to obtain financial activities report and information from various reporting agencies. The data so received by the FIU is systematized, analyzed and disseminated to Anti Money Laundering Investigation Department (AMLID), Government of Nepal (GoN) and other related agencies for further investigation and prosecution.

This procurement is for the design, development and implementation of a state-of-the-art secured (authentication, encryption, integrity and non-repudiation) web based FIUISS. The selected Consulting Firm shall be responsible for the successful system implementation responsibility for live operation following system cutover till the period of one year warranty.

1. Interested local or international Consulting Firm/Company can purchase Application Form upon submission of a written application addressed to the Executive Director, Nepal Rastra Bank, General Services Department, Baluwatar, Kathmandu, Nepal during office hours from the first date of the publication of this notice. Forms shall be available at the General Services Department upon payment of *Rs.5,000 (Rupees Five Thousands only)*, which is non-refundable, till 30th day of the first day of the publication of this notice during office hours.
2. EoI Documents duly completed in English should be submitted on or before the **31st day** of the first date of the publication of this notice at 14:00 hrs NST in a sealed envelope. In case of public holiday on 31st day, applications may be submitted during the same hours on the next working day.

3. Application Forms should be duly filled up and signed by the authorized person with the Consulting Firm/Company's official seal affixed.
4. Information submitted by the applicants shall be treated as confidential and the application shall not be returned.
5. Application shall be opened in the presence of attending applicants or their authorized representatives at 15:00 hrs NST on the 31st day from the first date of publication of this notice. In case of public holiday on the 31st day, applications shall be opened at 15:00 hrs NST on the next working day.
6. NRB, however, reserves the right to open documents in absence of the Consulting Firm/Company's authorized representatives as well.
7. NRB also reserves the right to accept or reject any or all applications.
8. Application received after the due date shall not be entertained.
9. Name of short-listed applicant shall be made public and informed.
10. Other related information may be obtained from Nepal Rastra Bank, General Services Department, Baluwatar, Kathmandu during office hours.
11. The EoI notice and related documents can be viewed at the NRB's website:
<http://www.nrb.org.np>.
12. The applicants may submit EoI Form downloaded from website along with original receipt of Form purchase at the time of submission.

Letter of Application

[Letterhead paper of the Applicant including full postal address, telephone, facsimile, e-mail and website]

Date:

**The Executive Director
Nepal Rastra Bank
General Services Department
Baluwatar, Kathmandu
Nepal.**

Re: Design, Development, Installation and Commissioning of Financial Information Unit Intelligence System Software (FIUISS) for Nepal Rastra Bank.

1. Being duly authorized to represent and act on behalf of _____ (hereinafter referred to as "the Applicant"), and having reviewed and fully understood all of the Expression of Interest (EoI) requirements and information provided, the undersigned hereby applies for EoI to bid on the Design, Development, Installation and Commissioning of Financial Information Unit Intelligence System Software (FIUISS) for Nepal Rastra Bank.
2. Attached to this letter are copies of original documents defining;
 - i. the Applicant's legal status;
 - ii. the principal place of business;
 - iii. the place of incorporation/registration, or the place of registration and the nationality of the proprietor/partners/shareholders.
 - iv. Intellectual Property Right (IPR) and other relevant patent rights of the software and IT related products, if any.
3. NRB, its authorized representatives or any legally competent agencies are hereby authorized to conduct any inquiries or investigations to verify the statements, documents and information submitted in connection with this application, and to seek clarification from our other Agencies and Clients regarding any financial and technical aspects. This Letter of Application shall also serve as authorization to NRB, related agency or its authorized representative to ask the Applicant any supporting information and documents deemed necessary or verify statements and information provided with this application, such as the resources, experience and competence of

the Applicant etc. The Applicant shall furnish all the information and documents as demanded.

4. NRB, related agency or its authorized representative may contact the following persons for further information:

Contact 1	Contact 2
Name:	Name:
Address:	Address:
Telephone No:	Telephone No:
Mobile No:	Mobile No:
Fax:	Fax:
E-mail:	E-mail:

5. This application is made with the full understanding that:
- a. Bids by EoI Applicants shall be subject to verification of all information submitted for EoI short-listing at the time of bidding.
 - b. NRB reserves the right to:
 - amend the scope and value of contract to be bid under this project; in which event, Request for Proposal (RFP) shall be invited only from those Applicants who meet the amended EoI requirements; and
 - reject or accept any application, cancel the EoI process and reject all Applications.
 - c. NRB shall not be liable for any such actions set under 5(b) as mentioned above.
6. The undersigned hereby also declares that the statements made and the information/documents provided by us in this EoI are unconditional and complete, true and correct in every detail and accept that any misinterpretation contained in it may lead to our disqualification.

Yours faithfully,

(Signature of Authorized Signatory)

(Name, Title and Address of the Applicant)

Terms of Reference
for
Request for Expression of Interest (EoI)

Subject: Design, Development, Installation and Commissioning of Financial Information Unit Intelligence System Software (FIUISS) for NRB.

Background

Established in 1955 under the Nepal Rastra Bank Act, NRB is an apex body in the financial sector of Nepal. The central office is located at Baluwatar, Kathmandu.

Financial Information Unit (FIU) was established within NRB in accordance with the section 9 of the "Sampati Suddhikaran (Money Laundering) Nibaran Ain, 2064". FIU obtains report/information on financial activities, processes it and discloses it to the Anti-Money Laundering Investigation Department and other relevant authorities for further investigation and prosecution. FIU is taking on the role of financial regulators responsible for enforcing compliance with anti-money laundering and anti-terrorist financing laws, regulation and guidelines.

The FIUISS is basic instrument for conducting its functions. NRB is expecting that it will improve efficiency and effectiveness of data collection, profiling, matching, analyzing, work flow management, reporting to subjective authorities etc. FIUISS should enable the working staff to face challenges encountered by the ongoing transformation in the Anti-Money Laundering (AML) and combating financial terrorism (CFT).

Broad Scope of Work

This procurement is for the design, development and implementation of a state-of-the-art secured (authentication, encryption, integrity and non-repudiation) web based FIUISS. The selected Consulting Firm shall be responsible for analyzing the requirements, designing, developing and implementing the FIUISS system as well as live operation of the system within the time frame stated in the document.

The broad scope of this procurement includes:-

- Requirement study and analysis, designing the solution and proposing system architecture, developing, installing, testing and implementation of the FIUISS,
- Specification of the required hardware, networking architecture and other infrastructures to support the FIUISS,

- All technical and operational documentation of the FIUISS,
- Operational and technical training for the staff of NRB, reporting institutions and law enforcement agencies in operating the system,
- One year warranty after system cut-over,
- Post-warranty Annual Maintenance Contract (AMC) and ongoing support of the FIUISS.
- Include the Business Continuity Plan to run the system in case of disasters.

Some of the features of FIUISS are as follows:

- Secure (authentication, encryption, integrity, non-repudiation, etc.) data collection and reply capabilities from/to all related entities like BFIs, casinos, money changers, money remittance/transferor companies, insurance companies and business persons, co-operatives, stock market, securities brokers and other securities business persons, precious metals or stones (gold, silver, gems, diamond etc.) businesspersons, real estate brokers, lawyers, accountants, auditors and other professionals as well as from/to international organizations/FIUs/agencies and about 20 governmental departments comprising of many more branches including 75+ Land Revenue Offices, Tax offices, Custom Offices, Immigration, Nepal Police, Office of the Company Registrar, postal bank etc.
- FIUISS should maintain authenticity of the information by the maker-checker and audit trail concepts.
- Ad-hoc queries in the database.
- Matching of transactions.
- Statistical reports (reports received and processed by entities/types etc; entities not submitting the reports in the data range; total reports received in a given period; total cases generated in the period etc).
- Tools for analysis of data (detail, strategic, tactical and rule based as per international best practices)
- Profiling of data.
- Fully customizable risk scoring.
- Workflow, task assignment and tracking of tasks.
- Document management of cases.
- Tools for report writing.
- Browser based user-friendly interface and file upload mechanism for batch processors.
- Messaging system to the registered users.

- End-user should be electronically informed about the data they submitted which did not have required fields, so that they can re-submit the data.
- FIUISS solution should be based on secured (viz., authentication, encryption, integrity, non-repudiation) web-based architecture and it should be supported through a robust Object Relational Data Base Management System (ORDBMS), which can handle large volume of data.
- Should support both Nepali (Bikram Sambat) and English (Gregorian) date.
- Solution should be secured with reporting, data archiving, audit trail, backup management and other functionality.

It is anticipated that selected Consulting Firm will be in constant consultation with the NRB FIU during analysis, design, development, implementation and training to ensure the right track of the solution for catering to specific user needs. The selected Consulting Firm must be capable of providing enough manpower, financial resources and equipment to perform the entire scope of work mentioned herein.

Terms of Supply

Approximate expected delivery time is 9 months including study and analysis, design, development, testing, training and commissioning plus three months of live operation; followed by one year warranty.

Source of Funding

The Budget of Nepal Rastra Bank.

Eligibility Criteria

1. Consulting firm/company should be in existence for at least five years and must be in the business of secure (mainly authentication, encryption, integrity, non-repudiation) web based software design, development, installation and commissioning the software products during the said period.
2. Consulting Firm/Company must have successfully designed, developed, installed and commissioned at least two secure (viz., authentication, encryption, integrity, non-repudiation) web based **FIUISS or Core Banking Application or Secure Web-based Software.**
3. Consulting Firm/Company must have, at least one, successfully designed, developed, installed and commissioned such secure web based software in central bank or bank and financial institution (BFI) or government agency or government corporation or public limited organization and must be successfully operating for at least one year on the last date of EoI submission.
4. Consulting Firm/Company must have average annual turnover equivalent of NPR 10 million during the past 3 years.
5. Consulting Firm/Company must have minimum net worth equivalent of NPR 2.5 million during the past 3 years.

6. The Consulting Firm/Company must be capable of providing enough manpower, financial resources and equipments to perform the entire scope of work mentioned herein.
7. Registered/licensed firm or a company may submit EoI.
8. In case of Joint Venture, the role and responsibility of each partner should be clearly furnished.
9. For the short-listing purpose, specific/technical experience of the lead Consulting Firm/Company and financial strength of both Lead and partner Consulting Firm/Company would be considered.
10. Short-listing of Consulting Firms/Companies shall be based primarily on the evaluation of information/documents included in the EoI template.
11. Consulting Firms/Companies may submit the list of third-party support (i.e., Sub-consulting Firms/Sub-contractor), if it is required for this project.
12. A Consulting Firms/Companies, either Single or member of Joint Venture can apply only in one EoI. To avoid confusion and possible elimination after short-listing, Lead Firms of Association or Joint Ventures are strongly advised to confirm relationships (exclusive or non-exclusive) with selected associates or partner prior to expressing interest.
13. In addition to authenticated hard copy, the Consulting Firm/Company must submit information/documents in soft copy.

Applicant Information

1. Applicant Details

1.1	Name of the Applicant	Details	Remarks
1.1.1	a. Address of office responding to this EoI b. Address of main office c. Details of partners/ promoters / directors d. Date of incorporation of the company e. Copy of MoU in case of JV f. Power of attorney to sign on behalf of JV		In the Joint Venture (JV) bid, all above details of all partners, associates, agent etc.
1.1.2	Telephone No. Mobile No.		
1.1.3	Fax No.		
1.1.4	Email:		
1.1.5	Website:		
1.1.6	Contact Names		
1.2	Person Authorized to Submit EoI		
1.2.1	Name / Surname		
1.2.2	Position		
1.2.3	Contact: Address Telephone No. Mobile No. Fax No. Email:		

1.3	Person for Communication (if different from 1.2)		
1.3.1	Name / Surname		
1.3.2	Position		
1.3.3	Contact: Address Telephone No. Mobile No. Fax No. Email:		

2. Financial Strength of the Applicant

2.1	Financial Strength* (For each member in case of Joint Venture)	
2.1.1	Annual Turnover for last 3 fiscal years	
	Fiscal Year	Turnover (.....)
	2008 (2065/66)	
	2009 (2066/67)	
	2010 (2067/68)	
2.1.2	Net Worth for last 3 fiscal years	Net Worth (.....)
	Fiscal Year	
	2008 (2065/66)	
	2009 (2066/67)	
	2010 (2067/68)	

*as per audited financial statements.

3. Technical Experience/Capabilities of the Applicant

List all the similar projects completed within the past five years and provide following information for each of these projects:

(Please use this separate sheet for each project)

Project Number:

Project name and location	
Name of software	
Details of functionality within software	
Overall cost of Project	
Client's Owner's references: Names/Company/ Title, Telephone number/ Fax number, email address, website	
Date of Commencement	
Date of Completion or current status	
Was the system Analysis, design, development, Testing, installation and commissioning completed within the expected schedule? If no, describe nature and duration of delay	
State if the project had cost overrun; if so, describe its nature and state amount	
Itemize work performed in this project by the Firm (e.g. analysis, design, development, testing, installation, maintenance and training)	
Itemize work sub-contracted under this project (e.g. if applicable installation, maintenance and training)	
Average number of work force	
Available equipments for the project	
If available, please provide website address of the project completed	
Client Certificate for the project	
Details of Intellectual Property Right (IPR) or other relevant patent rights, if any.	
Additional information, if any, may be provided in separate sheets	

Note:

The Certificate of Specific Work Experience of the Consulting Firm/Company must be attached with EoI Application Form, which must be issued by respective Clients and must include, among other things, name and nature of assignment, location of the assignment completed, duration (mm-yyyy) and period (Date) of the assignment, duration of stay/work in the assignment, assignment value etc.

Description of Business

For each of the items in the list given below, the Applicants should provide a brief paragraph or description of the requested verifiable information. Where lists are requested, please only provide a list without any description:

- Kind of business.
- History of the company/business.
- Field(s) of specialization.
- Organizational affiliation(s).
- Organizational structure.
- Organizational infrastructure including locations of offices worldwide.
- Total number of employees.
- List of items/services sold or offered.
- List of clients.
- List of clients currently using proposed or similar software, if any.
- List of two relevant major Projects carried out.
- Brief description of each Project along with contract value.
- Company profile, work experience, available technical manpower.

4. Personnel Capabilities

Please give description (including academic qualification, training and work experience) of the Key Staff who are going to be directly involved in the proposed job. Applicants should provide the names of at least four Key Staff qualified to meet the specified requirements stated for each position. The data on their experience should be supplied on separate sheets for each candidate.

Applicants may propose alternative management and implementation arrangements requiring different Key Staff with their qualifications, training and experience records.

i.	Title of position: Name of prime candidate: Name of alternate candidate:
ii.	Title of position: Name of prime candidate: Name of alternate candidate:

iii.	Title of position: Name of prime candidate: Name of alternate candidate:
iv.	Title of position: Name of prime candidate: Name of alternate candidate:

Note:

The Consulting Firm should submit attested copies of academic qualification, training and experiences of Key Staff proposed for this Project. The Certificate of Training should indicate the subject of training, date, period of training, location etc. The Certificate of Specific Work Experience of the Key Staff must be issued by respective Clients and must include, among other things, name and nature of assignment, location of the assignment completed, duration (mm-yyyy) and date of the assignment, duration of stay/work in the assignment, assignment value etc.

5. Litigation History

Applicants shall provide information on any history of litigation or arbitration resulting from contracts executed in the last five years or currently under execution.

Year	Award FOR or AGAINST Applicant	Name of client, causes of litigation and matter in dispute	Disputed amount (current value)

6. Submission of Application Form

6.1 Required Documents

In addition to the documents mentioned elsewhere in this EoI, the applicant should also submit the following documents along with this EoI:

1. Copy of Company/Firm’s Registration Certificate.
2. Copy of Business License Certificate (an authorization letter to conduct business), if applicable.
3. Copy of Memorandum and Article of Association of the Consulting Firm/Company.
4. Copy of Memorandum of Understanding (MOU) indicating the objectives and functions of the Consulting Firm/Company.
5. Copy of Citizenship / Passport / Identification of proprietor/partners/board of directors of a Consulting Firm/Company.

6. Copy of PAN and VAT registration certificate (for the Nepalese Consulting Firm/Company).
7. Tax clearance certificate or Tax return submission proof (for the Nepalese Consulting Firm/Company) for F/Y 2067/068.
8. Original EoI Form purchase receipt provided by NRB.
9. Copy of experience certificate/s for self designed, developed, commissioned, supported or owned secure (viz., authentication, encryption, integrity, non-repudiation) web based **FIUISS or Core Banking Application or other Secure Web-based Software** within immediate last five years.
10. **Self Declaration Letter** must be submitted by the Consulting Firm/Company, mentioning its –
 - eligibility to bid,
 - enough technical knowhow,
 - Appropriate skill,
 - Adequate resources and financial capability,
 - Competence and strength,
 - Expertise in the system design, development and implementation process,
 - No record or involvement in criminal/fraudulent/illegal activities,
 - Compliance to any applicable legal instruments.
11. All documents to be submitted with Application must have been attested by Applicant Firm/Company. Documents provided by other government and non-government agencies like: Certificate of Incorporation, Article of Association (AoA), Memorandum of Understanding (MoU) and Certificate of Experience must be attested by a Notary Public.
12. The Consulting Firm/Company must submit copy of Authorization Letter mentioning name, designation and specimen of signature.
13. An official seal must be affixed with authorized signature.
14. The proposal must contain no interlineations or overwriting except as necessary to correct errors. In each correction, the applicant or authorized official himself/herself must sign to give it validity.
15. All duplicate documents (except mentioned in point 11) to be submitted with Application must have been attested by a Notary Public or Applicant Firm/Company.
16. All the documents of this EoI should be indexed with page number and a checklist must be attached in the first page that shows the page numbers of the submitted documents clearly.
17. All information and Documentations are also to be provided electronically via email or on a CD.

6.2 Information available from and EoI to be addressed to:

Executive Director
Nepal Rastra Bank
General Services Department
Baluwatar, Kathmandu, Nepal.
Phone: 977-1-4411834
Fax : 977-1-4414955
Email : procurement@nrb.org.np
hpkaphle@nrb.org.np

6.3 Last Date for Submission:

Hard copy should be submitted at above said office on or before 14:00 hrs NST on **17th October 2011 in a sealed envelop.**

6.4 Envelope Marking

EoI for Design, Development, Installation and Commissioning of Financial Information Unit Intelligence System Software for NRB.

6.5 Language of EoI documents as well as all other correspondence shall be in **English.**

7. Short-listing Criteria

Application shall be assessed on the basis of the following criteria and abovementioned particulars. Therefore, Consulting Firms/Companies should submit necessary details that would help evaluation. Only those Consulting Firms, who have been short-listed, shall be duly informed in writing after evaluation. Experience of successful design, develop, commissioning and support of Secure (viz., authentication, encryption, integrity, non-repudiation, etc.) web based application of **FIUISS or Core Banking Software or Other Secure Web-based Software** within last five years.

Short-listing shall be based on pass/fail criteria as per abovementioned qualification, experience and capacity of the Consulting Firm/Company.

a. Qualification

Educational Qualification, Training and Work Experience of at least 4 Key Staff.

b. Operational Experience

At least 5 years experience of operations in the business of Information Technology.

c. Specific Experience

1. Experience of successful design, develop, commissioning and support of Secure (viz., authentication, encryption, integrity, non-repudiation, etc.) web

based **FIUISS or Core Banking Software or Other Secure Web-based Software** in at least two organization within last five years.

2. Consulting Firm/Company must have, at least one, successfully designed, developed, installed and commissioned such secure web based software in central bank or bank and financial institution (BFI) or government agency or government corporation or public limited organization and must be successfully operating for at least one year on the last date of EoI submission.

d. Financial Strength

Net worth and Turnover of Consulting Firm/Company.

Note:

The Consulting Firm/Company should submit audited financial statements for the last three fiscal years.

8. Disclaimer

- a. Each prospective Consulting Firm/Company should conduct its own study and analysis and check the accuracy, reliability and completeness of the information in this EoI and obtain independent advice from appropriate source before submission of this EoI and later RFP, if short-listed.
- b. Neither NRB, nor their employees shall have any liability to any prospective Consulting Firm/Company or any other person under the law of contract, for any loss, expense or damage which may arise from or be incurred or suffered in connection with anything contained in this EoI.
- c. NRB reserves the right to reject any or all of the EoIs submitted in response to this EoI document at any stage without assigning any reasons whatsoever. NRB also reserves the right to hold, or withdraw or cancel the process at any stage under intimation to the Consulting Firm/Company who submits the EoI.
- d. NRB also reserves the right to modify or amend or add to any or all of the provisions of this EoI document or cancel the present Invitation and call for fresh Invitation.
- e. Neither NRB nor their employees shall have any liability in case of non-receipt of any correspondence from them to the Consulting Firm/Company due to delays.
- f. The applicable laws for the purpose of this EoI are the laws of Nepal.
- g. The Consulting Firms/Companies are expected to know the prevailing Act, rules and directives, practices related to this assignment and requirements of NRB.

Acronyms

AML	Anti-money Laundering
BFI	Bank and Financial Institutions
CD	Compact Disk
CFT	Combating the Financial Terrorism
EoI	Expression of Interest
FIU	Financial Information Unit
FIUISS	Financial Information Unit Intelligence System Software
F/Y	Fiscal Year
GoN	Government of Nepal
IT	Information Technology
JV	Joint Venture
MoU	Memorandum of Understanding
NRB	Nepal Rastra Bank
HRMD	Human Resource Management Department
HRMISS	Human Resource Management Information System Software
RFP	Request for Proposal
VAT	Value Added Tax