
SHORT LISTING (PRE-QUALIFICATION) OF PROVIDERS FOR GOODS AND SERVICES FOR A TWO YEAR PERIOD



PREFACE

This document outlines Sanlam Life Uganda Limited's (SLUL) prequalification shortlisting process. The prequalification will be for the two calendar years beginning 1 January, 2018 and ending on 31 December, 2019.

Short listing is a pre-tender process that provides for a shortlist of providers from which providers are obtained to bid. Short listing is used where works, services or supplies are of a routine nature or bidding is for a group of similar contracts. Short listing shall be open to all providers and providers shall be invited using a short list notice.

The short-listing document is divided into:

- Part I: General Part
- Part II: Instructions to Bidders
- Part III: Preparation of Applications
- Part IV: Submission of Applications
- Part V: Evaluation of Applications
- Part VI: Short listing

Appendices:

- A: Application Submission Sheet
- B: Statement of Requirements
- C: Evaluation Criteria



TABLE OF CONTENTS

PREFACE	2
PART I: INTRODUCTION	5
1.1 Scope of Application	5
1.2 Corrupt Practices	5
PART II: INSTRUCTIONS TO PROVIDERS	6
2.1 Introduction	6
2.2 Objectives.....	6
2.3 Eligible Applicants and Countries.....	6
2.4 Cost of Applying.....	8
2.5 Clarification of short listing Documents	8
PART III: PREPARATION OF APPLICATIONS	8
3.1 Language of Application.....	8
3.2 Documents Establishing Applicant’s Eligibility and Qualifications	9
3.3 Format and Signing of Applications.....	9
PART IV: SUBMISSION OF APPLICATIONS	10
4.1 Sealing and Labelling of Applications.....	10
4.2 Deadline for Submission of Applications	10
4.3 Late Applications.....	10
PART V: EVALUATION OF APPLICATIONS	11
5.1 Evaluation of Applications:.....	11
5.2 Clarification of Applications	11
5.3 Contacting the Administration department.....	11
5.4 Confidentiality	11
PART VI: SHORT LISTING	12
6.1 Notification to the Short listed Applicants	12
6.2 Inspection	12
6.3 Currency	12
6.4 Changes in Qualifications of Applicants	12
APPENDIX A:	13
FORM A1: APPLICATION SUBMISSION SHEET	13
FORM A2: APPLICANT INFORMATION SHEET	15



FORM A3: FINANCIAL STATEMENT.....17

FORM A4: RESOURCES: PERSONNEL18

FORM A5: RESOURCES: PROVIDERS EQUIPMENT AND FACILITIES19

FORM A6: EXPERIENCE: RELEVANT PROJECTS COMPLETED20

FORM A7: LEGAL STATUS21

APPENDIX B: STATEMENT OF REQUIREMENTS22

APPENDIX C: EVALUATION CRITERIA23



PART I: INTRODUCTION

1.1 Scope of Application

1.1.1 The Administration department invites Applications for the short list of services and supplies/goods described in Appendix B.

1.1.2 Throughout this document:

- (a) The “Applicant” means the bidder submitting an Application; and
- (b) “Application” means a bid or submission to be short-listed.

1.2 Corrupt Practices

1.2.1 It is SLUL’s policy to require that administration department, as well as Applicants, and Providers observe the highest standards of ethics during procurement and the execution of contracts. In pursuit of this policy, SLUL (herein referred to as the Purchaser):

- (a) Defines, for the purposes of this provision, the terms set forth below as follows:
 - (i) “corrupt practice” includes the offering, giving, receiving, or soliciting of anything of value to influence the action of an official in the procurement process or in contract execution; and
 - (ii) “fraudulent practice” includes a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the Procuring Entity, and includes collusive practices among Providers prior to or after bid submission designed to establish bid prices at artificial, non-competitive levels and to deprive the company of the benefits of free and open competition;
- (b) will reject a recommendation for award if it determines that the Bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the Contract; and

1.2.2 In pursuit of the policy, the SLUL requires representatives of both the Administration department and of Providers to adhere to the relevant codes of ethical conduct.



PART II: INSTRUCTIONS TO PROVIDERS

2.1 Introduction

SLUL will evaluate and shortlist all eligible companies for the provision of various services, works and goods for a period of two years. Once a firm has been short listed, it will be invited several times, as deemed necessary, during the financial years, to submit a proposal/quotation/bid for the provision of some or all of the services or supplies.

SLUL reserves the right to add similar types of services and goods to the list in Appendix B.

2.2 Objectives

SLUL invites sealed Applications from reputable providers for services, works and goods for the provision of various services and goods for a period of three years.

The list of items required during the above mentioned financial years are given in Appendix B. The services, works and goods are not restricted to those listed in Appendix B.

2.3 Eligible Applicants and Countries

2.3.1 An Applicant, and all parties constituting the Applicant, shall meet the following criteria to be eligible to participate in Pre – Qualification:

- (a) The applicant has the legal capacity to enter into a contract;
- (b) The applicant is not:
 - (i) Insolvent;
 - (ii) In receivership;
 - (iii) Bankrupt; or
 - (iv) Being wound up
- (c) The applicant's business activities have not been suspended;
- (d) The applicant is not the subject of legal proceedings for any of the circumstances in (b); and
- (e) The applicant has fulfilled his or her obligations to pay taxes and social security contributions.

2.3.2 All countries are eligible except countries subject to the following provisions.

A country shall not be eligible if:

- (a) As a matter of law or official regulation, the Government of Uganda prohibits commercial relations with that country, provided that the Government of Uganda is satisfied that such exclusion does not preclude effective competition for the provision of supplies or related services required.



2.3.3 An Applicant shall be a natural person, private entity, government-owned entity, subject to 2.3.9, or any combination of them with the formal intent to enter into an agreement or under an existing agreement in the form of a joint venture, consortium or association. In the case of a joint venture, consortium or association, unless otherwise specified in the Application Submission Sheet, all parties shall be jointly and severally liable.

2.3.4 An Applicant and all parties constituting the Applicant shall have the nationality of an eligible country. An Applicant shall be deemed to have the nationality of a country if the Applicant is a citizen, or is constituted, incorporated or registered and operates in conformity with the provisions of the laws of that country.

2.3.5 This criterion shall also apply to the determination of the nationality of proposed subcontractors or providers for any part of the Contract including related services.

2.3.6 Applicants shall not have a conflict of interest. All Applicants found to be in conflict of interest shall be disqualified. Applicants shall be considered to have a conflict of interest with one or more parties in this short-listing process, if they:

- (a) Have controlling shareholders in common; or
- (b) Receive or have received any direct or indirect subsidy from any of them; or
- (c) Have the same legal representative for purposes of this Application; or
- (d) Have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about or influence on the Application of another Applicant, or influence the decision of the Administration department regarding this short-listing process; or
- (e) Participated as a consultant in the preparation of the design or technical specifications of the services or supplies that are the subject of this short listing.

2.3.7 A firm shall submit only one bid in the same bidding process, either individually as a Bidder or as a partner of a joint venture. No firm can be a subcontractor while submitting a bid individually or as a party of a joint venture in the same bidding process. A firm, if acting in the capacity of Subcontractor in any bid, may participate in more than one bid, but only in that capacity. A Bidder who submits, or participates in, more than one bid will cause all the proposals in which the Bidder has participated to be disqualified.

2.3.8 A firm that is under a declaration of suspension by the Government at the date of submission of the Application or thereafter, shall be disqualified.

2.3.9 All organizations shall be eligible only if they can establish that they are legally and financially autonomous, and operate under commercial law.

2.3.10 Applicants shall provide such evidence of their continued eligibility satisfactory to the Administration department, as the Administration department shall reasonably request.



2.4 Cost of Applying

The Applicant shall bear all costs associated with the preparation and submission of its Application and SLUL in no case is responsible or liable for those costs, regardless of the conduct or outcome of the short-listing process. **This shortlisting document shall be obtained at a non-refundable cost of Uganda Shillings 50,000 (fifty thousand) payable to SLUL.**

2.5 Clarification of short listing Documents

A prospective Applicant requiring any clarification of the short-listing documents may notify SLUL in writing or by cable (hereinafter, the term cable is deemed to include telephone, and e-mail) at the client's address indicated below. SLUL will respond in writing to any request for clarification on the short-listing documents, which it receives no later than seven (7) days prior to the deadline for the submission of Applications. Written copies of SLUL response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective applicants that have received the short-listing documents.

For clarification purposes only, the Administration department address is:

Attention: **PROCUREMENT: ADMINISTRATION DEPARTMENT**

Street Address: Plot 15 Princess Anne Drive, Bugolobi

City: Kampala

Postal Code: 25495

Country: Uganda

Telephone: 0417 726 526

Email: info@sanlam.co.ug

2.6 Amendment of short listing document

2.6.1 At any time prior to the deadline for submission of Applications, the Administration department may amend the short-listing Document by issuing addenda.

2.6.2 Any addendum issued shall be part of the short-listing Document and shall be communicated in writing to all who have obtained the short listing document from the Administration department.

2.6.3 To give prospective Applicants reasonable time to take an addendum into account in preparing their Applications, the Administration department may, at its discretion, extend the deadline for the submission of Applications.

PART III: PREPARATION OF APPLICATIONS

3.1 Language of Application

The Application prepared by the Applicant, as well as all correspondence and documents relating to the Application exchanged by the Applicant and SLUL Shall be written in English.



3.2 Documents Establishing Applicant's Eligibility and Qualifications

The Applicant shall provide as part of its Application, the documentary evidence of the Applicant's legal status, financial, technical and production capability to provide the services.

3.3 Format and Signing of Applications

3.3.1 The Applicant is requested to submit their short-listing Documents (included in Annex A) in one envelope marked: **"Short listing Documents for the provision of services or supplies to SLUL for a Period of Two Years."** The envelope shall contain One (1) original and two (2) copies.

3.3.2 The original and the copies of the Application shall be typed or written in indelible ink, and shall be signed by the Applicant or a person or persons duly authorized to sign the shortlisting documents. All pages of the Application, except for un-amended printed literature, shall be initialed by the person or persons signing the Application and each page numbered.

3.3.3 Any interlineations, erasures, or overwriting shall be valid only if they are initialed by the person or persons signing the Application.

3.3.4 ALL PAGES OF THE PROPOSAL MUST BE INITIALED AND NUMBERED SEQUENTIALLY STARTING WITH PAGE NUMBER ONE (1) BEING THE COVER PAGE.



PART IV: SUBMISSION OF APPLICATIONS

4.1 Sealing and Labelling of Applications

4.1.1 The shortlisting Application shall be composed of one envelope marked “Short listing Document for the provision/supply of It shall contain one (1) original (marked “Original”) and two (2) copies (marked “Copy”).

4.1.2 For Application submission purposes only, the Procuring and Disposing Department’s address is:

Attention: **PROCUREMENT: ADMINISTRATION DEPARTMENT**
Street Address: Plot 15 Princess Anne Drive, Bugolobi
Town/City: Kampala
Postal Code: 25495
Country: Uganda
Telephone: 0417 726 526
Email: info@Sanlam.co.ug

4.1.3 The envelope shall also indicate the name and address of the Applicant to enable the Application to be returned unopened in case it is declared “late”.

4.1.4 If the envelope is not sealed and marked as required SLUL will assume no responsibility for the Applications misplacement or premature opening.

4.2 Deadline for Submission of Applications

Applications must be received by SLUL, at the address specified above, no later than 12:00PM, Wednesday, 15th November, 2017.

4.3 Late Applications

Any Application received after the deadline for submission of Applications prescribed will be rejected and returned unopened to the Applicant.



PART V: EVALUATION OF APPLICATIONS

5.1 Evaluation of Applications:

(a) SLUL will carry out the evaluation of proposals/bids on the basis of their responsiveness to:

- i. Legal Status
- ii. Tax Payment
- iii. Financial Position – Presentation of copies of Audited reports for the last two years.
- iv. Evaluation criteria as given in Appendix C.
- v. Experience of similar services carried out in the last two years. (Attach proof of LPOs, contract documents or recommendation letters)

(b) Any Application that fails to meet the requirements in 5.1 (a) will be considered unsuitable and shall be rejected at this stage. The Administration department shall notify successful Applicants.

5.2 Clarification of Applications

5.2.1 During evaluation of the Applications, SLUL may, at its discretion, ask the Applicant for clarification of its Application. An email requesting for clarification shall be sent to an applicant by the chairperson of the evaluation committee.

5.2.2 An applicant shall be instructed to reply to clarifications in writing within a specified time, addressing their responses to the Head of Finance and Administration.

5.2.3 The Head of Finance and Administration shall ensure that all replies are promptly forwarded to the chairperson of the evaluation committee.

5.2.4 Failure of an applicant to respond to a request for clarification may result in the rejection of its Application.

5.3 Contacting the Administration department

5.3.1 No Applicant shall contact SLUL on any matter relating to its Application from the time of Application opening to short listing of Applicants.

5.3.2 Any effort by the Applicant to influence SLUL in its decisions on the Application evaluation may result in the rejection of the Application.

5.4 Confidentiality

5.4.1 Information relating to the evaluation of Applications, and recommendation for short listing, shall not be disclosed to Applicants or any other persons not officially concerned with such process until the notification of short listing is made to all Applicants.

5.4.2 From the deadline of submission of Applications to the time of notification of the results of the short listing, any Applicant that wishes to contact the Administration department on any matter related to the short-listing process, may do so but only in writing.



PART VI: SHORT LISTING

6.1 Notification to the Short listed Applicants

SLUL will notify all Applicants in writing by registered letter or by cable, that they have been short listed to provide works, services and goods for a period of two years.

6.2 Inspection

SLUL reserves the right to conduct a physical inspection of the premises of the Applicant at its own cost and discretion. If, after the inspection, it is deemed that the physical structure and quality of service equipment is unsatisfactory, then the Application will be rejected. The Administration department reserves the right to verify all information submitted.

6.3 Currency

All monetary/financial information furnished, must be quoted in Uganda Shillings.

6.4 Changes in Qualifications of Applicants

6.4.1 Applicants and those subsequently short listed or conditionally short listed, shall inform the Administration department of any material change in information that might affect their qualification status. Providers shall be required to update key short listing information at the time of bidding.

6.4.2 Prior to award of contract, the best evaluated bidder will be required to confirm its continued qualified status in a post-qualification review process.



APPENDIX A:

FORM A1: APPLICATION SUBMISSION SHEET

Date: [insert day, month, year]

To: [insert full name of Procuring and Disposing Entity]

We, the undersigned declare that:

(a) We have examined and have no reservations to the short listing document, including Addenda No:....., [*insert the number and issuing date of each Addenda*];

(b) We hereby apply to be short listed for the following works, services or supplies:

- Item Number;
- Item Description;

(c) We, including any subcontractors or providers for any part of the contract or contracts resulting from this short listing process, are eligible to participate in public procurement;

(d) We undertake to abide by the Code of Ethical Conduct for Providers during the procurement process and the execution of any resulting contract;

(e) We, including any subcontractors or providers for any part of the contract or contracts resulting from this short listing process, have nationals from the following eligible countries [insert the nationality of the Applicant, including that of all parties in case of a joint venture and the nationality of any subcontractors, if applicable];

(f) We, including any subcontractors or providers for any part of the contract or contracts resulting from this short listing process do not have any conflict of interest, and are not associated, nor have been associated in the past, directly or indirectly, with the consultant or any other entity that has prepared the design or technical specifications of the Supplies;

(g) We are not a government owned entity, or if we are, we meet the requirements of 2.3.9.

(h) We declare that the following commissions, gratuities, or fees have been paid or are to be paid with respect to the short-listing process, the corresponding bidding process or execution of the Contract: [insert complete name of each Recipient, their full address, the reason for which each commission or gratuity was paid and the amount and currency of each such commission or gratuity. If none has been paid or is to be paid, indicate "none".]

Name of Recipient;	Address;	Purpose/Reason;	Amount & currency
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(i) We understand that you may amend the scope and value of any contracts to be bid or cancel the short-listing process at any time and that you are neither bound to accept any Application that you may receive nor to invite the short-listed applicants to bid for the contract or contracts, which are the subject of this short listing, without incurring any liability to the Applicants;



(j) We understand that qualification information will be subject to verification through a post-qualification process prior to any award of contract;

(k) We hereby authorize you and your authorized representatives, to conduct any enquiries or investigations to verify the statements, documents and information submitted in connection with this Application and to seek clarification from our bankers and clients regarding any financial and technical aspects. This Application Submission Sheet will also serve as authorization to any individual or authorized representative of any institution referred to in the supporting information to provide such information deemed necessary and as requested by you to verify statements and information provided in this Application.

Signed: [signature of person whose name and capacity are shown below]

Name: [insert complete name of person signing the Application]

In the capacity of [insert legal capacity of person signing the Application]

Duly authorized to sign the Application for and on behalf of: [insert complete name of Applicant/Joint Venture]

Dated on _____ day of _____, _____ [insert date of signing]



FORM A2: APPLICANT INFORMATION SHEET

STRUCTURE AND ORGANIZATION

1. Name of Company: [insert full legal name]

- a) Physical address: [insert street/ number/ town or city/ country]
- b) Postal address:
- c) Telephone number:
- d) Telefax number:
- e) Email:

2. Description of the Company's activities:

3. Number of years of experience in the provision of the works, services or supplies under reference

4. In case of a Joint Venture, the following documentation shall be required for each member of the joint venture:

- a) A copy of the Bidder's Trading license ;
- b) A copy of the Bidder's Certificate of Registration;
- c) A copy of the Bidder's income tax clearance certificate ;
- d) Power of Attorney of the signatory(ies) of the bid authorising signature of the bid on behalf of the joint venture;
- e) A certified copy of the Joint Venture Agreement, which is legally binding on all partners, showing that all partners shall be jointly and severally liable and one of the partners will be nominated as being in charge, authorised to incur liabilities, and receive instructions for and on behalf of any and all partners of the joint venture.

The Applicant's authorized representative for information is:

- a) Name: [insert full legal name]
- b) Address: [insert street/ number/ town or city/ country]
- c) Telephone/Fax numbers: [insert telephone/fax numbers, including country and city codes]
- d) E-mail address: [indicate e-mail address]

5. Describe your company's access from other sources (name the sources/companies) to works, services or supplies it does not carry out or does not have in stock, and the delivery schedule in these cases

6. What is the time schedule of providing and completing the works, services or supplies being applied for?

7. Please indicate here or attach an organization chart showing the company structure including key personnel.



8. What are the specific types of equipment/vehicles that the company is certified to work on? (E.g. Motor vehicle, equipment maintenance, e.t.c.)-**provide a copy of authorization if the company is the authorized dealer.**

9. Please indicate the additional works, services or supplies that the company can provide e.g. mobile repair, vehicle breakdown, pickup service, etc



FORM A3: FINANCIAL STATEMENT

1. Share capital

Authorized share capital:

2. Annual value of business under taken in the last two years

- a) Year
- b) Turn over

3. Approximate value of current work related to this type of works, services or supplies

4. Please attach copies of the company's audited accounts for the previous two years (profit/loss, assets/liabilities) and any financial data, which you consider to be useful in the shortlisting. Please list all the attachments below.

5. Name and address of Bankers from which references can be obtained and authority to seek references



FORM A4: RESOURCES: PERSONNEL

1. Number of staff, i.e.:

- I. Management staff:
- II. Technical staff:
- III. Support staff:

2. Please list the present key personnel and management staff.

- I. Name
- II. Qualification
- III. Years of relevant experience



FORM A5: RESOURCES: PROVIDERS EQUIPMENT AND FACILITIES

On the basis of the information provided in the short-listing documents, please indicate equipment and facilities considered by your firm to be necessary for undertaking the contract and whether this is already in the company's ownership or will be purchased.

The following facilities and infrastructure are available at the Applicants workshop (where applicable):



FORM A6: EXPERIENCE: RELEVANT PROJECTS COMPLETED

Please fill in information about the relevant contracts completed over the past three years.

Name of Employer (Client)	Description of Contracts	Total Contract Price	Date of Completion

The applicant **MUST** attach evidence of performance of the above contracts either in the form of reference letters from the clients. This is applicable for both completed and current similar assignments.

EXPERIENCE: CURRENT RELEVANT CONTRACTS

Please fill in information about the current relevant contracts being executed.

Name Employer	Description of Contract	Contract Price	Value completed and certified

Please attach evidence to confirm the above.



FORM A7: LEGAL STATUS

1. Enclose a copy of the Memorandum and Articles of Association or its equivalent. A separate list of Directors/Partners/Proprietors should be attached. A joint venture agreement should be attached where applicable.
2. Enclose a copy of the Certificate of Incorporation or its equivalent.
3. Enclose a copy of the Power of Attorney to the signatory of the short-listing document registered by the Registrar of Companies or written authorization to submit the Application.
4. Enclose an Income Tax Clearance Certificate addressed to the [Administration department], for this purpose. SLUL shall only accept original income tax clearance certificates.
5. Attach a copy of VAT Registration Certificate for Ugandans
6. Please enclose a copy of the current valid Trading License.
7. Please enclose a copy of your firm's insurance policy coverage (applicable to motor vehicle maintenance, repair of office equipment, etc.)



APPENDIX B: STATEMENT OF REQUIREMENTS

List and codes of works, services and goods to be provided include but are not restricted to the following:

Category of items

	Supplies/Goods
Item No.	Item description
1	Supply of I.T. equipment and accessories
2	Supply of office stationery and printing
3	Supply of drinking water (UNBS Certified)
4	Supply and maintenance of fire-fighting equipment and spares
5	Supply of office furniture
6	Supply and delivery of branded promotional materials
7	Supply of IT software licenses and support
	Services
	Item description
8	Provision of general cleaning & pest control (fumigation) services
9	Provision car hire services
10	Provision of local courier services throughout the country
11	Servicing and repair of I.T. equipment (e.g. Laptops, Desktops, Scanners, Projectors, Printers & Photocopiers)
12	Provision of hotel conference facilities and accommodation
13	Servicing and repair of automobiles including vehicles & motor cycles
14	Repair and maintenance of power backups, solar, generators and inverters, air conditioners, lighting, etc
15	Repair of office Furniture and Fittings
16	Provision of security and access control services
17	Provision of travel agency services



APPENDIX C: EVALUATION CRITERIA

The evaluation criteria is based on four main areas namely eligibility, experience, and capacity, technical and quality requirements. The following evaluation criteria shall be used:

1. Certificate of Incorporation
2. Memorandum and articles of association
3. Powers of attorney
4. Current Trading License
5. Income Tax Clearance Certificate
6. Physical address of the company
7. Audited financial reports for the last two years by certified auditors
8. Evidence of previous and ongoing contracts
9. At least two reference letters from previous clients
10. VAT Registration