PATH Request for proposals:

Risk and Compliance Software Solution - 2023
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Request for proposal number: RFP #2023-023

For: PATH Risk and Compliance Solution Software

1. Request for Proposal Schedule

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date and time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for proposal (RFP) released</td>
<td>Day 1 – Friday July 21, 2023</td>
</tr>
<tr>
<td>Confirmation of interest in submitting a proposal</td>
<td>Day 7 – Friday July 28, 2023</td>
</tr>
<tr>
<td>Deadline for fact-finding questions</td>
<td>Day 13 – Thursday August 3, 2023</td>
</tr>
<tr>
<td>PATH to respond to fact-finding questions</td>
<td>Day 19 – Wednesday August 9, 2023</td>
</tr>
<tr>
<td>Deadline for submission of proposal in response to</td>
<td>Day 31 - Monday August 21, 2023</td>
</tr>
<tr>
<td>the RFP</td>
<td></td>
</tr>
<tr>
<td>Selected vendors invited to provide solution</td>
<td>Day 41 - Thursday August 31, 2023</td>
</tr>
<tr>
<td>demonstrations</td>
<td></td>
</tr>
<tr>
<td>Invited vendors provide solution demonstrations</td>
<td>Day 52 to 54 - Monday to Wednesday, Sept 11-13, 2023</td>
</tr>
<tr>
<td>Outcome communication</td>
<td>Day 67 - Tuesday Sept 26, 2023</td>
</tr>
</tbody>
</table>

All dates/times listed above refer to 11:59 pm PST.

Note: PATH may change the dates at its discretion. Changes will be communicated to those who confirmed their intent to submit a proposal.

2. PATH Statement of Business

PATH is a global nonprofit dedicated to achieving health equity. With more than 40 years of experience forging multisector partnerships, and with expertise in science, economics, technology, advocacy, and dozens of other specialties, PATH develops and scales up innovative solutions to the world’s most pressing health challenges. Learn more at www.path.org.

3. Contracting Requirements

3.1 The contracting authority shall be PATH or any one of its affiliates either directly or on behalf of the operation’s countries or programs.

3.2 The commercial contracting terms and conditions will be negotiated with the successful vendor toward the end of the selection process.
3.3 By submitting a proposal, the vendor confirms that they will abide by the RFP terms and PATH policies, especially our Code of Ethics (https://www.path.org/about/code-ethics/), and general good practices regarding inclusivity, diversity, fair trading, health and safety, records management, anti-fraud and corruption, and environmental policy, among others.

4. Solicitation Terms and Conditions

4.1 Notice of nonbinding solicitation: PATH reserves the right to reject all bids received in response to this solicitation and is in no way bound to accept any proposal.

4.2 Confidentiality: Vendors shall treat all information provided by PATH as part of this solicitation as confidential. If any information is inappropriately released, PATH may seek appropriate remedies as allowed under applicable law.

4.3 Conflict of interest disclosure: Vendors bidding on PATH business (also referenced herein as “bidders”) must disclose, to the procurement contact listed in the RFP, any actual or potential conflicts of interest. Conflicts of interest could be present if there is a personal relationship with a PATH staff member that constitutes a significant financial interest, a board membership, other employment, or ownership or rights in intellectual property that may conflict with the vendor’s obligations to PATH. Vendors and PATH are protected when actual or perceived conflicts of interest are disclosed. When necessary, PATH will create a management plan that provides mitigation of potential risks presented by the disclosed conflict of interest.

4.4 Acceptance: Bidder’s submission of a proposal means the bidder accepts all terms and conditions set forth in the RFP. PATH’s acceptance of a proposal does not mean acceptance of its terms and conditions. PATH reserves the option to negotiate on the final terms and conditions. We additionally reserve the right to negotiate the substance of the RFP finalist proposals, as well as the option of accepting partial components of a proposal if appropriate.

4.5 Right to final negotiations: PATH reserves the option to negotiate on the final costs and final scope of work and reserves the option to limit or include third parties in such negotiations at PATH’s sole and full discretion.

4.6 Third-party limitations: PATH does not represent, warrant, or act as an agent for any third party because of this solicitation. This solicitation does not authorize any third party to bind or commit PATH in any way without our express written consent.

4.7 Proposal validity: Proposals submitted under this RFP shall be valid for at least 90 days following the date the proposal is due. The validity period shall be stated in the proposal submitted to PATH.

4.8 Limitation of liability: The terms and conditions set forth in this RFP do not exclude or limit the liability of PATH or the vendor in relation to fraud or in other circumstances giving rise to liability under any applicable law.

4.9 Tender costs and liability: Bidders are responsible for obtaining all information necessary for the preparation of their proposal and for all costs and expenses incurred in preparation of the proposal. Subject to the “Limitation of liability” section in this RFP (section 4.8), the bidder accepts by their participation in response to this RFP, including without limitation the submission of the proposal, that it will not be entitled to claim from PATH any costs, expenses, or liabilities that it may incur in tendering a response to this RFP, irrespective of whether their proposal is successful.

4.10 PATH’s variation or termination rights: PATH reserves the right to vary or terminate this RFP process with written notice to all vendors from which it has received proposals. It is intended that this solicitation process will take place in accordance with the provisions of this RFP, but PATH reserves the right to terminate, amend, or vary (to include, without limitation, in relation to any time scales or deadlines) the solicitation process by notice to all vendors from which it has received
proposals. Subject to section 4.8, “Limitation of liability,” PATH will have no liability for any losses, costs, or expenses caused by its termination, amendment, or variation to this RFP.

4.11 **Joint venture or consortium or subcontractors:** Any lead vendor that submits a proposal in response to this RFP takes responsibility and accountability for enforcing the RFP requirements set forth herein among the members of the joint venture or consortium, and each of their advisers, subcontractors, and staff.

4.12 **Payment and invoicing:** PATH will pay correctly addressed and undisputed invoices within 30 days. Vendors shall ensure comparable payment provisions apply to payments to their downstream parties. **Advance payment is not preferred.** If an advance payment is envisaged and is other than industry or country known practice, such must be made clear in the financial proposal to PATH.

5. **Instructions for Responding**

5.1 **PATH contacts:** All communications regarding this solicitation shall be directed to the contacts below. Contacting third parties involved in the project, the review panel, or any other party may be considered a conflict of interest and could result in disqualification of the proposal. All documents required as part of the proposal must be submitted to the contacts listed by the deadline for submission:

PATH RFP Contact: path-irm23@path.org

The subject line of all emails regarding the proposal should read: IRM RFP #2023-023 Your Company Name.

Please see Annex A to this RFP, “Tips on proposal preparation and submission,” for additional details regarding the files and file types to be included in your proposal package.

5.2 **Confirmation of interest:** Please send a statement acknowledging receipt of this solicitation and your intent to respond or not respond no later than the date noted in the schedule in section 1. Send the confirmation to the contacts listed above.

5.3 **Proposal content:** Bidders are advised to provide only what is required as outlined in Annex B: “Vendor’s proposal format/questionnaire.” The proposal must be clear, concise, unambiguous, and directly address the stated requirements.

5.4 **Selection of short list:** PATH reserves the right to select a shortlist from the bids received. PATH has the option to invite short-listed bidders to present a demonstration of their software solution reflecting PATH’s defined scenarios and discuss specific details with those candidates who are shortlisted.

6. **Specifications/Scope**

6.1 **Scope of work/terms of reference/specifications:**

PATH’s operations are program and project-based, using internal resources and third-party partnerships to achieve PATH’s mission. PATH and partner teams are dispersed globally.

At PATH, management and reporting are routinely matrixed and cross-organizational visibility to activity is required to support programs/projects that span multiple countries and regions. Risks are aligned to corporate, functional, program, project, country, third-party (vendor), and donor
requirements demonstrating both geographical (location-based) and traditional division/department line reporting structures. Systems access and reporting follow these dimensions, and solutions must support these structures. User permissions need to be aligned with relevant job function and appropriate responsibilities.

Due to the breadth of the company’s operations, PATH identifies and manages a broad range of cross-organizational (shared) risks, as well as operational risks that are unique to local or project-specific conditions (not-shared). Data is collected to support the identification, management, and reporting of risks.

PATH is seeking a software solution that can effectively support the identification, assessment, monitoring, and mitigation of risks across the organization as described above.

6.1.1 Business and Functional Specifications
PATH’s business and functional specifications for this system are outlined in the attached Excel document. Specifications are further categorized as Required (Req), Desired (Des) or Nice to Have (NTH).

6.1.2 Technical Requirements
PATH’s technical specifications for this system are outlined in the attached Excel document. Specifications are further categorized as Required (Req), Desired (Des) or Nice to Have (NTH).

6.1.3 Pricing
PATH estimates the following users of the system:
- 4 to 10 IT “admin” users to assign users roles/access, and to maintain technical customer configurable features within vendor guidelines
- 4 to 10 "super" users to control the risk management business processes, tasks assignments, verify risk entries/registers, etc.
- 100+ operational "end" users to enter proposed risks, make preliminary assessments, propose mitigations, complete assigned workflows, etc.
- 20 to 40 "management" users to view reports/analytics, collaborate/comment on risks and mitigation plans, verify risk acceptance, etc.

PATH’s pricing specifications for this system are outlined in the attached Excel document Pricing tab.

7. Fact-finding Questions
7.1 Fact-finding questions should be sent to the contact listed in Section 5.1 by the date in the RFP schedule (section 1). Fact-finding questions received after this deadline cannot be accommodated.
7.2 It is advisable that any fact-finding questions refer to a specific section of the RFP and, to the extent possible, be aggregated rather than sent individually.
7.3 In line with transparency principles, all fact-finding questions and all of PATH’s responses to these questions will be shared with all those who confirmed their intent to bid. Questions will be anonymized and answered if PATH reasonably determines that such fact-finding questions do not disadvantage any potential vendor and are not commercially in confidence. If such are commercially in confidence, they shall be handled in line with PATH’s policy, international regulations and guidelines on responsible management of information and data.
7.4 PATH may request from a bidder additional information at any time ahead of award, and the bidder will be expected to provide the requested information within the time frame given. Failure by a bidder to provide supplementary information to PATH in a timely manner may lead to the proposal being rejected in full or disqualification from the procurement process.

8. Qualifications, Evaluation Criteria, and Selection

8.1 Vendor qualifications:
In relation to the scope, provide information on your overall qualifications, including:

- Profile of relevant corporate qualifications.
- Profile of relevant experience and examples of related work.
- Qualifications of key members of the proposed project team (attach CVs/resumes and provide details of backup/standby teams).
- Number of years in business.
- Primary geographies (i.e., where the software is used).
- Annual revenue.
- Industry ratings or awards/recognition.
- If your company has more than one location, please indicate these qualifications for the site that is responding.

Vendors that do not meet reasonable qualifications may not be shortlisted and therefore not technically evaluated.

8.2 Selection and evaluation criteria: The proposal is to follow the template provided in Annex B ("Vendor Proposal Format") and will be expected to address all the required specifications. The proposal may also address the desired and nice-to-have specifications.

- **Stage 1**: Proposals will be checked for completeness in terms of submission on time; business, functional and technical proposal; financial proposal; and all required information. Proposals that are correctly completed will proceed to Stage 2. Any proposals submitted late, incomplete, or with omissions may be rejected at this point. If a proposal is rejected at this stage, it will automatically be disqualified from further review.
- **Stage 2**: Proposals that pass the Stage 1 evaluation will be evaluated with the evaluation methodology below.
- **Stage 3**: Selected vendors will be invited to provide a live demonstration of their product. Scenarios for the live demonstration will be provided by PATH to all invited vendors.

8.3 Evaluation criteria: Submitted proposals and live demonstrations (from invited vendors) will be assessed using the criteria and weightings in Table 1.

Table 1. Proposal evaluation criteria and weighting.

<table>
<thead>
<tr>
<th>Evaluation criteria</th>
<th>Weight (100%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business and Functional Requirements</td>
<td>40%</td>
</tr>
<tr>
<td>Technical Requirements</td>
<td>25%</td>
</tr>
</tbody>
</table>
8.4 **Scoring model:** Proposals will be scored based on the model in Table 2 below for all the technical components. The financial proposal will be evaluated separately, as highlighted in section 8.4.1 below and Annex C.

Table 2. Proposal scoring model.

<table>
<thead>
<tr>
<th>Assessment</th>
<th>Score</th>
<th>Summary</th>
<th>Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent</td>
<td>5</td>
<td>Very strong evidence of appropriate knowledge, skills, and experience to meet the scope. Demonstrated innovation in better delivery of the scope.</td>
<td>As well as addressing all, or the vast majority, of bullet points under each criterion heading, proposal demonstrates a deep understanding of the project. All solutions offered are linked directly to project requirements and show how they will be delivered and the impact they will have on other areas and stakeholders.</td>
</tr>
<tr>
<td>Good</td>
<td>4</td>
<td>Sufficient evidence provided of adequate knowledge, skills, and experience to meet the scope. May demonstrate some innovation though it may be less robust. Meets all requirements with some minimal gaps.</td>
<td>Reflects that the bidder has addressed, in some detail, all or most of the bullet points listed under each criterion heading. Evidence is included that shows not only what will be provided but also gives some detail of how this will be achieved. Bidders should make clear how their proposals relate directly to the aims of the project and be specific, rather than general, in the way proposed solutions will deliver the desired outcomes.</td>
</tr>
<tr>
<td>Acceptable</td>
<td>3</td>
<td>Reasonable evidence of appropriate knowledge, skills, and experience for the scope. Meets requirements in many areas but not all areas.</td>
<td>Addresses the majority of the bullet points under each criterion heading but lacks some clarity or detail on how the proposed solutions will be achieved. Evidence is provided; however, generic or general statements are not specifically directed toward the aims/objectives of the project. Any significant omission of key information as identified under each criterion heading will point toward a score of 3.</td>
</tr>
<tr>
<td>Minor reservations</td>
<td>2</td>
<td>There is some evidence of appropriate knowledge, skills, and experience for the scope. Meets requirements in some areas but has important omissions.</td>
<td>Reflects that the bidder has not provided evidence to suggest how they will address several bullet points under the evaluation criteria headings. Tender is, in part, sketchy, with little or no detail given of how the project requirements will be met. Evidence provided is considered weak or inappropriate and is unclear on how this relates to the desired outcomes.</td>
</tr>
</tbody>
</table>
### Assessment Summary Interpretation

<table>
<thead>
<tr>
<th>Assessment</th>
<th>Score</th>
<th>Summary</th>
<th>Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Serious reservations</td>
<td>1</td>
<td>Limited evidence of appropriate knowledge, skills, and experience for the scope.</td>
<td>Reflects major weaknesses or gaps in the information provided. The bidder displays poor understanding and there are major doubts about fitness for purpose.</td>
</tr>
<tr>
<td>Unacceptable</td>
<td>0</td>
<td>No evidence of knowledge, skills, and experience for the scope.</td>
<td>Results if no response is given and/or if the response is not acceptable and/or does not cover the required criteria.</td>
</tr>
</tbody>
</table>

8.4.1 **Financial evaluation:** The itemized and total costs will be evaluated for the purposes of financial evaluation, and prices are not subject to any pricing assumptions, qualifications, or indexation other than that stated in the financial proposal. Annex C provides guidelines on inclusions and exclusions for your consideration in preparation of the financial proposal.

8.4.2 **Moderation and application of weightings:** The evaluation panel will moderate criteria that have substantial divergence among the individual scores and agree on the final score (as opposed to averaging scores). The score for each award criterion will be amalgamated to give a percentage score out of 100.

8.4.3 **The recommended winning vendor:** The recommended award winner will be the proposal that receives the highest score out of 100 (combined technical and financial scores) when applying the above evaluation methodology.

8.4.4 **Feedback:** All those who submit proposals will be provided feedback. At a minimum, each vendor will be informed of how many points they scored and provided a summary of key strengths and areas for improvement.
Annex B. Vendor Proposal Format
In the Excel table that outlines Specifications for this solution, describe how your solution addresses each business, functional and technical specification.

Annex C. Financial proposal
For option/s proposed, specify solution details and costs in the Excel table Pricing specifications tab.