KENYA COMMERCIAL BANK LTD

EXPRESSION OF INTEREST

DESIGN, IMPLEMENTATION AND SUPPORT OF AN ENTERPRISE SERVICE BUS SOLUTION BASED ON SERVICE ORIENTED ARCHITECTURE (SOA) INTEGRATION MODEL AND PRINCIPLES.

Release Date: 27th March 2015

Last Date for Receipt of bids: 10th April 2015 3pm (East African Time)
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EXPRESSION OF INTEREST FOR DESIGN, IMPLEMENTATION AND SUPPORT OF AN ENTERPRISE SERVICE BUS SOLUTION BASED ON SERVICE ORIENTED ARCHITECTURE INTEGRATION MODEL

ISSUE OF PREQUALIFICATION DOCUMENT TO PROSPECTIVE BIDDERS

This form is to be completed on receiving the document by e-mail, the page is to be completed and faxed immediately to fax number +254 20 2240977 or a scan copy e-mailed to procurement@kcba.co.ke. Firms that do not register their interest in this manner will not be sent the Prequalification addenda should any arise.

Name of Person: ______________________________________
Organization Name: _________________________________
Address: _____________________________________________
Tel No: _______________________________________________
Fax No: ______________________________________________
Email Address: _______________________________________
Signature: ___________________________________________
Date: _______________________________________________
1 BACKGROUND

Kenya commercial Bank Limited is incorporated in Kenya and is a leading commercial banking group in the East African region, renowned for its diversity and growth. It has other subsidiaries; Kenya KCB (Tanzania) limited, a banking subsidiary operating in Tanzania, KCB (Uganda) limited, a banking subsidiary operating in Uganda, KCB (Sudan) limited, a banking subsidiary operating in Sudan, KCB (Rwanda) limited, a banking subsidiary operating in Rwanda and KCB Burundi.

KCB first invested in IT systems in the 1970s. This was in the form of mainframe computers which ran the core banking system. These were batch based systems variously hosted at the KCB industrial area complex, Gigiri and Kencom house for production and disaster recovery use. In the early 1990s KCB invested in a distributed system (TC3) which gave branch access through a fat client architecture system. KCB operated this distributed system alongside the batch system (AS400) until 2005 when all users were moved to the distributed system and eventually migrated to the current web based core banking system (T24). At the same time, within the 1990s and 2000s, there was a proliferation of user specific systems geared towards providing end users with specific services. This trend has continued to date which has led to a complex computing environment with more than 60 systems in a complex mesh.

The use of legacy systems are causing a number of problems for KCB, with highly complex environment built up over the years blamed for numerous IT failures. Lack of interoperability between systems means that the cost of integrating new software into legacy infrastructure can devour large chunks of IT budgets, the majority of which is being spent on keeping the lights on rather than innovative projects.

This document constitutes the formal EXPRESSION OF INTEREST FOR DESIGN, IMPLEMENTATION AND SUPPORT OF AN ENTERPRISE SERVICE BUS SOLUTION BASED ON SERVICE ORIENTED ARCHITECTURE (SOA) INTEGRATION MODEL

The EOI document is being sent out on Open tender basis to all interested partners.

All bidders should have past experience of carrying out similar implementations.

Please read through this document carefully and provide requested information together with all supporting documents.
2 IMPORTANT NOTES TO SUPPLIERS

a) The purpose of this document is to assist Kenya Commercial Bank in the identification and evaluation of potential partners who may subsequently be invited to submit an RFP for Provision of design, implementation and support of an Enterprise service bus solution based on SOA integration model.

b) Prospective partners must have experience of offering similar services to comparable large Corporations/Institutions/Financial Institutions of similar size and complexity and must demonstrate the willingness and commitment to meet the criteria as per the guide and information requested below.

c) In order to simplify this process, you need to provide certified copies of all supporting documents requested under the EOI, for example, audited accounts, registration and compliance certificates, among others listed.

d) You may also be asked to clarify your response or provide more details. Please answer every question. If the request for further clarification does not apply to you please write N/A; if you don’t know the answer please write N/K.

e) Failure to provide requisite information and/or to provide written answers to any further questions or requests for additional information or requests for clarification will result in the supplier’s elimination from further consideration.

f) Please note that by responding to this EOI you accept that all answers provided in this questionnaire are legally binding on the supplier and should the need arise, may be used as evidence in any court of law, which has jurisdiction. Further, Kenya Commercial Bank reserves the right without further recourse to verify at its own cost the accuracy of any answers provided herein.

g) All expenses and costs incurred by a respondent in connection with this EOI, for preparation and lodging for submission (without limitation) shall be the sole responsibility of the respondent.

h) Nothing in the Expression of Interest shall be construed to give rise to contractual obligations with the Bank.

i) Without limiting its right at law or otherwise Kenya Commercial Bank, may at its absolute discretion, suspend or defer this Expression of Interest process.

j) Where necessary in response to information requested, please provide additional information.
3 INSTRUCTION TO PROSPECTIVE PARTNERS

a) Please provide information as requested in this EOI. Items that are not applicable should be marked as N/A.

b) A response will be invalid unless signed and stamped in section 2 Clause 8.

c) To qualify for consideration, the response must be received by Procurement Department.

d) Please send your response to the address below.

The Head of Procurement  
Kenya Commercial Bank Ltd  
P.O. BOX 48400-00100  
NAIROBI, KENYA.

OR deposited at the tender box, 5th floor KENCOM building, Moi Avenue, Nairobi so as to reach not later than 3.00 pm on 10th April, 2015 (in Nairobi, GMT+3)

The envelope should be marked “EXPRESSION OF INTEREST FOR DESIGN, IMPLEMENTATION AND SUPPORT OF AN ENTERPRISE SERVICE BUS SOLUTION BASED ON SERVICE ORIENTED ARCHITECTURE INTEGRATION MODEL”

d) Responses should bear the same numbering as in this document.

e) Please bind your response before submitting.
4 REQUIREMENTS

4.1 SOLUTION REQUIREMENTS

The bank would like to obtain details pertaining to the design, implementation and support of an Enterprise Service Bus solution based on Service Oriented Architecture (SOA) integration model and principles. The following is a guide to the solutions requirement and should not be taken to limit the response to this guideline.

The partner is allowed to provide additional design and implementation information where deemed necessary that will lead to a successful delivery of the proposed solution.

- The proposed solution should be Open, Scalable, Modular and Highly Available.
- The proposed solution must adhere to Service Oriented Architecture (SOA) model/principles of integration across various layers of the system.
- Detailed listing of hardware and software required - must include all necessary modules/components, applicable licenses and the rationale for the solution to enable successful implementation of a complete solution.
- The proposed solution must implement a multi-level security across various tiers and layers.
- Provide a detailed schematic diagram (design) of the proposed solution.
- Best practices from the industry must be implemented across the tiers and layers of the proposed solution.
- Performance monitoring and transaction management.
- Provide a detailed Implementation plan and methodology including a proposed detailed project plan.
- Propose a detailed seamless service/systems integration and interface migration planning taking into account that no downtime is experienced.
- Propose number and extent of phases so that it is easy to seamlessly move from one phase to another with a clear roadmap and rationale for proposed roadmap.
- Recommend requisite training (Admin, technical etc.), including location and time commitment.
- Any dependencies and pre-requisites necessary for successful implementation
• Propose and detail methodologies and requirements for service abstraction geared towards achieving the same
• Service and systems integration requirements
• Licensing requirements and models
• Development methodologies and approach to Service repository and catalogue
• Kindly indicate if the partner is responsible for end to end delivery of the solution. If not kindly indicate the role played by any other partner including the principle solution owner.
• Any assumptions made with reference to solution proposed
• Any limitations pertaining to the solution provided
• Provide a list of expected risks and controls.
• Include a high level support offering capturing your key service offering items critical for a successful support service engagement.

4.2 Eligibility Criteria/Prequalification
The bidder must possess the requisite experience, preferably integration in the financial sector, strength and capabilities for providing the services necessary to meet the requirements, as described in the EOI document. The bidder must also possess the technical know-how and the financial wherewithal that would be required to successfully provide required solution. The invitation to bid is open to all bidders who qualify the eligibility criteria as given below. Eligibility criteria are mandatory and any deviation in the same will attract disqualification.

5 ADDITIONAL REQUIREMENTS
Suppliers willing to be considered for the Expression of Interest for design, implementation and support of an Enterprise Service Bus solution based on SOA integration model are expected to furnish the Bank with among others the following vital information, which will be treated in strict confidence by the Bank.

The following document Must be attached in addition to the below information requested:

a) Attach a copy of your company profile (Clearly detailing the ownership structure; proportionate shareholding; organization structure and mission statement; company address, location and key Contact persons)
b) Please attach a copy of certificate of incorporation/registration certificates and Tax compliance certificates.

c) Copies of PIN and VAT certificates.

d) Please provide copies of Audited books account for the recent past three years.

e) Specify number of years the organization has been carrying out similar implementations for the respective area of interest for large organizations/banking/financial institutions comparable to KCB. (attach evidence)

f) Demonstrate past experience in similar implementations.

g) Provide a detailed approach/methodology of how your firm conducts similar design, implementation and support of an Enterprise service bus solution based on SOA integration model.

h) Demonstrate in-depth capability in the application of project management techniques and capability

i) Curriculum vitae of the proposed consultants citing relevant experience of successful implementation. (Attach evidence for the respective area of interest).

j) At least three references where similar implementations have been successfully implemented in large organizations/banking/financial institutions within the last three years (attach evidence for the respective area of interest).

k) Evidence of Registration by professional bodies for the proposed team to be involved in similar design, implementation and support of an Enterprise service bus solution based on SOA integration model.

l) Indicate if partner is the principle solution owner. If not the principle solution owner kindly state relationship with principle solution owner.

5.1 FINANCIAL

a) Please indicate your annual turnover for the last 3 years. If your company is part of a group, please give figures for both the group and subsidiary company (use the table below).
<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>YEAR</th>
<th>YEAR</th>
<th>YEAR</th>
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<tbody>
<tr>
<td>Gross Revenue</td>
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<tr>
<td>Operating Profit</td>
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<td></td>
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<tr>
<td>Total Current Assets</td>
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<tr>
<td>Total Non-current Assets</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Current Liabilities</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Non-current Liabilities</td>
<td></td>
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</tr>
</tbody>
</table>

Please provide copies of Audited books account for the recent past three years.

b) Please give details of your bankers and number of years you have operated the accounts.

5.2 QUALITY ASSURANCE

a) Please provide copies of certificates any quality assurance accreditation that your company holds, e.g. ISO 9000 certifications and a copy of your quality manual. If no accreditation held, please provide a description of your quality system.

b) Please provide details of any quality accreditations for which you have applied.

c) Please state what awards, if any, your company has been awarded.

5.3 STAFF EMPLOYED

a) Please indicate the number of permanent and contract staff employed by the organization in Kenya.

b) Please indicate the number of dedicated staff directly involved in the provision of the service referenced in this EOI.

c) What is your percentage staff turnover for the last 3 years?

d) Please indicate what policies you adopt in assessing the competence of staff to be employed.

5.4 REFERENCES

a) Please provide reference for of large organizations/banking/financial institutions for whom the firm has successfully designed, implemented and supported a Robust ESB solution based on SOA methodology.
<table>
<thead>
<tr>
<th>No</th>
<th>Customer Organization (name)</th>
<th>Customer contact name and phone number</th>
<th>Contract reference and brief description:</th>
<th>Date contract awarded</th>
<th>Date contract Completed / in progress</th>
<th>Value of Contract (KES/ USD)</th>
</tr>
</thead>
<tbody>
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</table>
6 BUSINESS PROBITY AND LITIGATION MANAGEMENT

Please confirm whether any of the following questions applies to your organization: Note that failure to disclose information relevant to this section may result in your exclusion as a potential Kenya Commercial Bank supplier.

<table>
<thead>
<tr>
<th>No.</th>
<th>PARTICULARS</th>
<th>RESPONSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1</td>
<td>Is the organization bankrupt or being wound up, having its affairs administered by the court, or have you entered into an arrangement with creditors, suspended business activities or any analogous situation arising from similar proceedings in Kenya or the country in which it is established?</td>
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</tr>
<tr>
<td>6.2</td>
<td>Please provide a statement of any material pending or threatened litigation or other legal proceedings where the claim is of a value in excess of KES 500,000/= (equivalent to USD 6,250)</td>
<td></td>
</tr>
<tr>
<td>6.3</td>
<td>Has any partner, director, shareholder or employee whom you would propose to use to deliver this service been convicted of an offence concerning his professional conduct?</td>
<td></td>
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<tr>
<td>6.4</td>
<td>Please state if your organization or any of its shareholders, directors, or employees has ever been the subject of public allegations, under investigation, charged, prosecuted, or convicted, has had its assets blocked, seized or frozen or has a judgment entered against in respect of national or international law relating to the following; Money laundering, economic crime, corruption, bribery, terrorism &amp; any other economic offence</td>
<td></td>
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<tr>
<td>6.5</td>
<td>Has the organization been charged for not fulfilling its obligations relating to the payment of any statutory deductions or contributions including income tax as required under Kenyan law or the laws of the country in which it is established?</td>
<td></td>
</tr>
<tr>
<td>6.6</td>
<td>Please state if any Director / shareholder/ Partner and / or Company Secretary of the Organization is currently employed or has been employed in the past three years by Kenya Commercial Bank</td>
<td></td>
</tr>
<tr>
<td>6.7</td>
<td>Please state if any Director / Partner and / or Company Secretary of the Organization has a close relative who is employed by Kenya Commercial Bank and who is in a position to influence the award of any supply. For purpose of pre-qualification process close relative refers to parents, siblings, spouse or children</td>
<td></td>
</tr>
<tr>
<td>6.8</td>
<td>Please state if your organization, any predecessor to your organization or any member of your organization is currently a party to any litigation that is in progress or has</td>
<td></td>
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</tbody>
</table>
been within the last three years that is directly related to the conduct of your business.

6.9 Please state if your organization or any of its shareholders, directors or employees has ever offered gifts or bribes to facilitate award of business or to facilitate payments or to obtain business advantage.

7 CLARIFICATION ON PREQUALIFICATION DOCUMENT

All correspondence related to the EOI shall be made in English. Any clarification sought by the bidder in respect of the project shall be addressed at least three (3) working days before the deadline for submission of bids, in writing to the Head of Procurement.

The last date for receipt of requests for clarifications from bidders is Tuesday, 7th April, 2015.

The Clarification Template is as follows:

- Company Name:
- Contact Person: (primary Supplier contact)
- E-mail:
- Phone:
- Fax:
- Document Number/Supplier

<table>
<thead>
<tr>
<th>#</th>
<th>Date</th>
<th>Section/ Paragraph(2)</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<tr>
<td>2</td>
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<tr>
<td>3</td>
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</tr>
</tbody>
</table>

(1) Question(s) mailing Date.
(2) From the KCB Document.

The queries and replies thereto shall then be circulated to all other prospective bidders (without divulging the name of the bidder raising the queries) in the form of an addendum, which shall be acknowledged in writing by the prospective bidders.

Enquiries for clarifications should be sent by e-mail to: procurement@kcb.co.ke
8  DECLARATION

Please complete the declaration below and attach this document in its entirety to your response. Also ensure that you provide response to all requested information in the same order and numbering as given in this document.

I/we certify that the information provided in response to this EOI is accurate and complete as at the date set out below.

I/we understand that the provision of false information in response to this EOI could result in the Company being excluded from the list of those who may be invited to tender for the implementation of the solutions with Kenya Commercial Bank Ltd.

I/we undertake to inform Kenya Commercial Bank Ltd promptly following any matter which would alter or add to any of the information given in response to this EOI.

I/we make this declaration for and on behalf of the Company.

Signed: ............................

Name: ............................

Position: ............................

Date: ............................

Company stamp