



Request for information



REQUEST FOR INFORMATION

Audit Management System

RFI Main Facts Table	
RFI Reference	FY22-0160 Audit Management System
RFI Issue date	22 March 2022
Contract Manager	Sharon Boyle
Deadline for submission of offers	5th April 2022

Submission of offers to

procurement@plan-international.org

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Cover Letter

RE: FY22-0160 **Audit Management System**

Plan Limited is currently reviewing the provision of **Audit Management System**. As part of developing our plans to meet this requirement we are issuing this Request for Information (RFI). This RFI is one vehicle by which we can systematically identify similarities and differences between suppliers in the market, and additionally gain a greater understanding of specific suppliers' abilities, core business and strategic outlook with respect to the **Audit Management System**.

You are invited to submit a response to this RFI. The purpose of the RFI at this stage is to prequalify suppliers based on their response, selected suppliers will be invited to perform presentations and/or demos. This will be considered solely for the purposes of building greater understanding of the marketplace and industry's ability to fulfil our requirements and add costing for budgetary and business case purposes. We look forward to your response by the closing date and time provided on the cover page of our RFI documentation.

Yours sincerely

Mohammad Anwar - Procurement Officer

[Plan Global Hub](#)

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Duke Street, Woking, Surrey

GU21 5BH, United Kingdom

Email: mohammad.anwar@plan-international.org

PART 1 – BACKGROUND

1. Background Information on Plan International

Plan International is an independent development and humanitarian organization that advances children's rights and equality for girls.

We believe in the power and potential of every child. But this is often suppressed by poverty, violence, exclusion and discrimination. And its girls who are most affected. Working together with children, young people, our supporters and partners, we strive for a just world, tackling the root causes of the challenges facing girls and all vulnerable children.

We support children's rights from birth until they reach adulthood. And we enable children to prepare for – and respond to – crises and adversity. We drive changes in practice and policy at local, national and global levels using our reach, experience and knowledge.

We have been building powerful partnerships for children for over 75 years, and are now active in more than 70 countries.

Read more about Plan International's Global Strategy: 100 Million Reasons at <https://plan-international.org/strategy>

1.1 Company overview

Plan International Global Assurance (GA) has produced a Strategy which identifies the need to improve our use of technology to deliver our service more effectively, efficiently and economically, widen our range of products and our reach, and to provide high quality data for decision making and reporting.

New technologies are emerging which can support Audit activities (e.g. IRM, Robotics, AI/ML, Big Data and Analytics) and Plan has embarked on a major digital transformation which presents both risks and opportunities to the organisation and to GA's Audit and Counter Fraud Unit (CFU) functions,

Plan has recently implemented a set of management standards which will be self-assessed on a regular basis. These self-assessments will drive much of GA's annual and detailed planning, and any system we adopt should be able to utilise the self-assessments to simplify planning.

Furthermore, the organisation is going through transformation and we need to change/adopt new ways of work to be in line with the organization's changes and remain a credible and effective team, future-proofing us to operate in a more digitalised world, and equipping us to optimise our time and increase our reach.

At the same time the COVID-19 pandemic has driven wholesale change in our ways of working, and effective use of technology will be key to managing the significant risks and capitalising on the significant opportunities presented.

1.2 The Opportunity

The following list contains some early thinking with regards to the type of information we would expect the system to store and outcomes it will support. It is not exhaustive, and the expectations are that responders to the RFI will bring their own unique viewpoint and knowledge to the table in demonstrating what would be capable:

- Improve the performance, reducing resourcing/costs, and improving audit quality.
- Increase the breadth of work we do (e.g., root cause analysis).
- Increase depth of work we do (e.g., CAATs and Data Analytics).
- Provide management information for planning.

- Provide management information for stakeholders.
- Provide management information for internal KPIs.
- Facilitate remote working, continuous auditing and other collaborative an innovative way of working.
- Support other projects such as learning & development, knowledge management, and audit faculty.
- Improve staff working conditions, eliminating manual work and its errors.

The following includes the core categories of capabilities and detailed requirements can be found in Appendix I. types of information that we would expect to be in the system, but we do not see that as conclusive and should not be taken as a limit on the outcomes we are looking to achieve

Audit Project Management
Audit Risk Management
Audit Workpapers
Audit Evidence Management
Reporting
Issue and Action Tracking
Time and Expense Management
Performance Management
Business Intelligence
Audit Analytics / Continuous Monitoring
System Capabilities
Software Capabilities (Administration)
Company Services and Information

1.3 Purpose of the RFI

The purpose of this RFI is to allow Plan to assess supplier responses and use the resultant assessments in future decision making in regard to supply of the Opportunity. Based on supplier response, selected supplier/s will be invited to perform presentations and/or demos. This will be considered solely for the purposes of building greater understanding of the marketplace and industry's ability to fulfil our requirements. Whilst it is the intent of Plan to compare supplier responses for the purposes of pre-qualification and possible short listing for further consideration, Plan Limited makes no obligations or undertakings in any way to:

- go to tender; or
- accept any RFI information received from suppliers; or
- include suppliers responding to this RFI in any future tender invitation; or
- any other commitment to suppliers whatsoever, including any intention to form a contract with any supplier for provision of the Opportunity.

PART 2 – INSTRUCTIONS

This Part sets out instructions regarding submission of responses to this RFI.

2.1 RFI key dates

The following key dates apply to this RFI:

RFI Issue Date: As stated on the RFI Cover Page

RFI Closing Date and Time: As stated on the RFI Cover Page

2.2 Company contact

The following individual is the nominated Plan contact for this RFI.

Name	Mohammad Anwar
Title/Position	Procurement Officer
Email address	procurement@plan-international.org
Postal address	Block A, Dukes Court, Duke Street, Woking, Surrey GU21 5BH

2.3 Queries and questions during the RFI period

Suppliers are to direct any queries and questions regarding the RFI content or process to the Company contact. All questions should be submitted by email to procurement@plan-international.org. Plan may choose to convey responses to submitted questions and queries to all suppliers so that each is equally informed.

2.4 Opportunity briefing and site visit

Plan will hold an RFI briefing session to further familiarise suppliers with the Opportunity.

2.5 Response lodgement methods and requirements

Suppliers must submit one copy of their response to Plan by the following method:

- a) All expressions of interest must be submitted via the procurement@plan-international.org.

Responses must be prepared in English and in the format requested in Part 3 of this RFI.

2.6 Late responses

Suppliers are responsible for submitting their response prior to the RFI closing date and time in accordance with the acceptable lodgement requirements described in Clause 2.5. There will be no allowance made by Plan for any delays in transmission of the response from supplier to Plan. Any Proposal received by the Company later than the stipulated RFI closing date and time may be removed from further consideration by Plan.

2.7 Suppliers to inform themselves

Plan has taken all reasonable care to ensure that the RFI is accurate; however, Plan gives no representation or warranty as to the accuracy or sufficiency of the contained information.

2.8 Costs of preparing the response

All costs relating to the preparation and submission of a response are the sole responsibility of the supplier. Plan shall not pay the supplier, wholly or in part, for its response.

2.9 Confidentiality

Except as required for the preparation of a proposal, suppliers must not, without Plan's prior written consent, disclose to any third party any of the contents of the RFI documents. Suppliers must ensure that their employees, consultants and agents also are bound and comply with this condition of confidentiality.

2.10 Acceptance of these Conditions

Suppliers, by submitting a response to this RFI, are deemed to have acknowledged and agreed to the conditions set out in this RFI and have read and agreed to Plan's general Terms and Conditions included in this RFI.

PART 3 – INFORMATION TO BE PROVIDED

This Part details all the information suppliers are required to provide to Plan. Submitted information will be used by Plan as set out in Clause 1. 3. The following minimum information is to be provided. If this information, or any additional information, is available on your website please provide the address to enable Plan to undertake further analysis. Please provide the following information as a separate sheet/document added to your response:

3. 1 Supplier details

- a) Supplier name (Trading and Registered), ABN, registered address.
- b) Details of supplier operations and operating locations.
- c) Supplier ownership information, including details of Directors and other key office bearers.
- d) Details of any current legal actions pending against the supplier or its directors and/or office bearers.
- e) Relationships with any parent company (if applicable).
- f) Details of joint venture arrangements (if applicable).
- g) Details of when the supplier organisation was founded, including origins and historical development of the organisation (if needed).
- h) Total number of employees.

3. 2 Supplier capabilities and experience

- a) A description of the core supplier business, listing relevant case studies or examples (a maximum of three) that support this description. Where possible, include case studies that may relate to activities consistent with the Opportunity. Within necessary boundaries of confidentiality, please be as specific as you can.
- b) Additional services, products and works provided outside of your core business.
- c) Examples (if any) of services that supplier has provided to Plan including the name of the Company representative/s concerned.
- d) Details of key health and safety, environmental and other performance measures.

3. 3 Supplier financials

- a) Details of supplier's financial background in particular latest annual report or latest financial statements.
- b) Details of held insurances relevant to the Opportunity.
- c) Supplier market share in terms of turnover, revenue and volume output.
- d) Details of potential funding arrangements, lines of credit etc. to support investment in the Opportunity (if relevant).

3. 4 Certifications and awards

- a) Details of all certifications held (e.g. ISO 9001) including date of last certification/recertification and details of the certifying body (copies of certifications may be appended to your response).
- b) Details of any recent external corporate awards, including the awarding body, if relevant to the Opportunity.

3.5 Policies

- a) Details of all major supplier policies, including Health and Safety, Environmental/ Sustainability, Employee Relations and Local Participation. Copies of policies are to be appended to your response.

3.6 Indicative Pricing

- a) Please refer to and complete Annex - A "Pricing Information"

3.7 Other Information

- a) Any further information you believe Plan may require in support of its RFI review.
- b) An overview of technical capabilities of the system, whilst the RFI process will not 'dig deep' into these capabilities, the following areas may be topics of discussion:
 - a. Hosting / Data Capabilities including:
 - i. SaaS Options
 - ii. Security
 - iii. Updates and Release Management
 - iv. Compliance to standards
 - v. Disaster Recovery
 - b. Support Capabilities:
 - i. Support Options
 - ii. Availabilities
 - iii. SLA's
 - c. Integration capabilities
 - i. Authentication and user management (Okta)
 - ii. HRIS (SuccessFactors)
 - iii. LMS (Totara)
 - iv. ERP (Dynamics 365)
 - v. Monitoring & Evaluation (Salesforce/AMP:Impact)
 - d. Implementation and On-going Professional Service

4. Annex List

Annex A	Pricing Information	All Suppliers to complete
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