

SECURITIES AND EXCHANGE COMMISSION

Addendum 01

Request for Proposal (RFP)

Addendum Issue Date 17th August 2018

Revised Closing Date and Time: 27th August 2018 at 10:00 AM

Consultancy Services for the Computerization of Securities and Exchange Commission

Information to Consultants

The following information is provided to the potential consultants for the above named project, to the extent referenced and shall become a part thereof. No consideration will be allowed for extras due to the consultants or any sub-contractor not being familiar with this addendum. This Request for Proposal (RFP) addendum shall form part of the *Contract Documents* and is to be read, interpreted and coordinated with all other parts. The following revisions supersede the information contained in the original instructions and specifications issued for the above named project.

Request for Proposal (RFP)

1.0 OBJECTIVE

The objective of the assignment is to assist the Securities and Exchange Commission (SEC) to undertake an assessment of existing information technology infrastructure (both hardware and software), to define an Information Technology (IT) strategy and corresponding architecture framework for the technology driven transformation of the Commission operation and information management systems. The consultant will define requirements for new systems (e.g. Regulatory Compliance System, Securities Exchange Surveillance System, Intranet Portal with Workflow Processing and Document Management capabilities). The Architecture will be defined from Business, Applications, Information, Infrastructure and Information Security perspectives, enabling SEC to build a world class IT environment. The consultant/consultancy firm is also expected to develop a detailed roadmap and a cost model for the implementation of the proposed solutions.

2.0 SCOPE OF WORK:

The consultant is expected to carry out the following tasks:

1. The consultant is expected to develop an IT strategy through in-depth study of all available documents and data concerning the SEC laws, regulations, processes and systems.
2. Conduct direct interviews, meetings, workshops and discussions with all SEC departments, management and other stakeholders to assess the needs and requirements of the direct beneficiaries of the proposed solutions.
3. Provide professional advice and share international best practices related with the functionalities and technical requirements of similar solutions in other jurisdictions or related sectors.
4. Provide procurement support by preparing detailed functional and non-functional requirements documentation for the development or acquisition of new systems to support SEC business operations.
5. Define a detailed technical infrastructure requirements covering: networks, hardware, hosting environment and Enterprise Systems Management capabilities to support the proposed systems.
6. Prepare a detailed implementation plan and realistic cost estimates for the proposed business solutions including services and training activities.
7. Shall assist the SEC in the preparation of tender documents and evaluation of prospective vendors.

3.0 Expected Output and Deliverables

1. Information technology strategic plan and architecture framework.
2. Requirements documentation for the acquisition of a Regulatory Compliance System.
3. Requirements documentation for the acquisition of workflow processing system with document management capabilities.
4. Minimum requirements documentation for the acquisition of securities exchange surveillance systems

5. Tender documents for (2) and (3) prepared.
6. Satisfactory procurement support provided.

4.0 Contract Duration

1. The contract duration shall be for a period of **sixteen (16) weeks**.
2. The Securities and Exchange Commission invites interested Individual consultants/Consultancy firms to submit their detailed proposals covering the points outlined in the TOR and accompanied by the following application documents to; procurement@sec.gov.gh or Securities and Exchange Commission 30 3rd Circular Road, Cantonments, Accra Ghana. Tel: 0203 768 970-2 on or before **10:00 GMT of 27th August 2018**.
3. Acknowledgment letter and curriculum vitae (CV) for the required personnel.
4. A work plan and schedule for carrying out the consultancy with an expected commencement date.
5. Your offer comprising of a Technical and Financial Proposal, in separate sealed envelopes, one (1) original and two (2) copies, should be submitted in accordance with the Data Sheet
6. For further clarification, kindly send email to procurement@sec.gov.gh Attention; Head IT. The assigned person will handle all queries for this RFP.