

**National Audit Office of Sri Lanka**

**(NAOSL)**

**The Democratic Socialist Republic of Sri  
Lanka**

**RFI for Supply and Installation of an Audit Management Solution (AMS) for  
National Audit Office of Sri Lanka (NAOSL)**

**Request for Information (RFI)**

**For the supply and installation of an Audit Management Solution - (AMS)  
for the National Audit Office of Sri Lanka - (NAOSL)**

**The Democratic Socialist Republic of Sri Lanka**

**Buyer:** National Audit Office of Sri Lanka – (NAOSL)  
**Project:** Sri Lanka Public Financial Management Strengthening Project  
**For:** The supply and installation of an Audit Management Solution – (AMS) for t  
**Country:** The Democratic Socialist Republic of Sri Lanka  
**Grant No.:** TF0C1642  
**RFI No:** 01

RFI released: 02 / Dec / 2024  
Deadline for Questions: 10.00 am, 16 / Dec. / 2024  
Deadline for Responses: 3.00 pm, 16 / Dec. / 2024

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## **RFI for Supply and Installation of an Audit Management Solution (AMS) for National Audit Office of Sri Lanka (NAOSL)**

### **1. The Entity**

This RFI is issued by the National Audit Office of Sri Lanka – (NAOSL), referred to below as “the Buyer” or “we” or “us”.

### **2. Objectives**

The Democratic Socialist Republic of Sri Lanka has received a grant from the Multi-Donor Trust Fund, funded by the European Union (EU) and Agence Française de Développement (AFD) through the International Bank for Reconstruction and Development (IBRD), to implement the Public Financial Management Strengthening Project (PFMSP). Component 02 of the PFMSP is focused on enhancing NAOSL's Accountability and Institutional Capacity.

Under this component, the NAOSL is seeking a comprehensive and efficient Audit Management Solution (AMS) to streamline its auditing functions conducted on public sector institutions such as Ministries, Departments, State Owned Enterprises – (SOEs), Commissions and entities as a Constitutional requirement to ensure the accountability, enhance compliance, and improve overall risk management of respective institutions and authorities. The NAOSL reports to the Parliament of Sri Lanka through its reporting system.

Since this is a new initiative of the NAOSL, we are exploring a suitable AMS that is expected to improve the efficiency of the public sector auditing process through an integrated AMS application more efficiently and effectively. At this moment, we are going out to the market to see what is available and to develop a list of audit management solutions that will be requested to respond to a Request for Proposals.

The suppliers should be active both in the auditing process and the development of information systems and have a good knowledge of each and every auditing process. Accordingly, the AMS solution providers are encouraged to submit the proposal in response to this RFI within the stipulated time below.

#### **Note**

*At this stage, we are not requesting financial quotation or technical proposals. But we are seeking to improve our knowledge of available AMS in the market and what suppliers are active in this area.*

### **3. Why Your Response is Important?**

This is a unique opportunity to assist NAOSL for understanding the market for Audit Management Solution (AMS), developing our functional specifications, and determining a way forward for a complex procurement.

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### **4. No Obligation Demo**

We will request a live demonstration (virtual session) of the AMS modules proposed by the interested solution providers, a “no-obligation demo,” to better understand the capabilities of the proposed platforms and ask questions on specific requirements.

### **5. The National Audit Office of Sri Lanka**

The Democratic Socialist Republic of Sri Lanka is an island in South Asia in the Indian Ocean, southwest of the Bay of Bengal, separated from the Indian peninsula by the Gulf of Mannar and the Palk Strait. It shares a maritime border with the Maldives in the southwest and India in the northwest. The country has a population of approximately 22 million and is home to several cultures, languages and ethnicities. Sri Lanka is a developing country, and it is the highest-ranked South Asian nation in terms of development and has the second-highest per capita income in South Asia. The country comprises 09 provinces and 25 districts.

Since the existence of NAOSL (*then* the Auditor General’s Department), it has continued its functions as an independent organization. In 2018, the department continued as the National Audit Office. The mandate for the Auditor General to audit the Public Sector Institutions is primarily derived from Article 154 of the Constitution, and it was further expanded by the Twentieth Amendment to the Constitution and the provisions of the National Audit Act, No. 19 of 2018, with effect from 01 August 2018.

At present, the NAOSL operates its auditing function through manual means. As such there is an urgent requirement to replace the existing manual systems with a AMS to better suit the modern day auditing requirements.

### **6. SECTION 1: Key Information**

#### **1.1 Context**

- a. This Request for Information (RFI) seeks information to help the NAOSL, the Government of Sri Lanka, determine its requirements for procuring an Audit Management Solution and its functions and associated implementation services.
- b. Following this RFI, the NAOSL will decide what procurement process it will follow, if any.

#### **1.2 Timeline**

Timeline for this RFI (all times are based on Sri Lanka times (GMT +5.30) is given below:

<b>Deadline for Questions from Respondents:</b>	10.00 am, 16/Dec./2024
<b>Deadline for Responses</b>	3.00 pm, 16/Dec./2024

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### **1.3 How to Contact**

- a. Contact us through our Point of Contact via email.
- b. The Point of Contact:

**Name:** Mr. Dharmapala Gammanpila

**Title/role:** Senior Deputy Auditor General / Project Director  
Sri Lanka Public Financial Management Strengthening Project

**Email address:** [cgaa1@auditorgeneral.gov.lk](mailto:cgaa1@auditorgeneral.gov.lk)  
[ghdgammanpila@gmail.com](mailto:ghdgammanpila@gmail.com)

### **1.4 Important to Note**

- a. *This is not a tender or not belonging to the procurement process.*
- b. *Take time to read and understand the RFI. In particular, understand our Requirements. These are in Section 2 of this document.*
- c. *If you have questions, ask our Point of Contact before the Deadline for Questions (see 1.2 above).*
- d. *Submit your Response before the Deadline for Responses using the Response Form provided.*

### **1.5 Address for Submitting Your Response**

Submit your Response to the following addresses:

[cgaa1@auditorgeneral.gov.lk](mailto:cgaa1@auditorgeneral.gov.lk)  
[ghdgammanpila@gmail.com](mailto:ghdgammanpila@gmail.com)

*Note:*

*Not accept responses sent by post or delivered to NAOSL office.*

### **1.6 Later Changes to the RFI or RFI process**

After publishing the RFI, if we need to change anything or provide additional information, we will let all respondents know by email.

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**7. SECTION 2: NAOSL Requirements**

**7.1. Background**

This request relates to the planned procurement of an AMS for use by the NAOSL, the Government of Sri Lanka. This RFI intends to obtain information about what is available in the market and to use that information to refine the RFP document.

**7.2. Key Requirements of the AMS**

This RFI relates to the possible purchase of an Audit Management Solution. The requirements are listed below:

I.	A standard AMS implementation with a web-based architecture is needed to support the audit system for the NAOSL. This will be in a cloud environment and may be provided as a Software, as a Service or as an application managed in the cloud. NAOSL is investigating options available in the market.
II.	A solution that supports audit planning and scheduling through the ability to create and manage audit plans, prioritize audits based on risk assessments, assign HR for auditing tasks, and integrate with risk management frameworks.
III.	A solution that enables the execution of audits in the public sector, including the collection of evidence, documentation, and analysis of data, allowing users to quarry the data, facilities for changing queries according to their needs, facilities for workflow management, assignment of tasks, real-time tracking, and showing the progress of auditing at any given time.
IV.	A solution with a built-in analytical and reporting tool to generate customizable reports and template generation, data visualization and trend analysis, integration with data analytics tools and possibilities for data, reports and document storage.
V.	An easy-to-use and intuitive solution that can easily identify and resolve errors, take corrective actions, and have facilities for tracking, monitoring, and follow-up of corrective actions, sending reminders and notifications automatically, and supporting audit workflows and processes.
VI.	A secure solution enables user-level access control, prevents unauthorized access, and enables the application of strong internal controls.
VII.	A solution can integrate with other systems and synchronize and exchange data.
VIII.	A scalable solution that can grow with the NAOSL and is available 24/7.
IX.	A high-security and compliance system included robust security measures to protect sensitive audit data and ensure compliance with industry standards and regulations.
X.	As per the case arising, a solution that allows integration with third-party systems.

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### **7.3. Features of the Audit Management System (AMS)**

The NAOSL is looking for a complete Audit Management System that includes:

#### **a. Risk-Based Audit Planning**

- i. The system should support risk-based audit planning and prioritization.
- ii. The system can be integrated with existing risk assessment tools and frameworks with minimal rework or change requests.

#### **b. Audit Execution**

- i. The system should offer evidence collection, documentation, testing analysis and non-conformity identification features.
- ii. The system should support audit management workflows and task assignments. The workflows should be customizable as needed.

#### **c. Reporting and Analytics**

- i. The system should offer different reporting capabilities, such as customizable templates, formats and data visualization.
- ii. Possibility to integrate with data analytics tools for deeper insights and participate with data analytical tools for deeper understanding.
- iii. Ability to provide tools for collecting, organizing, and storing audit evidence.
- iv. The system should support predefined reports, as agreed upon with the NAOSL, and customizable reports, on demand, using a reporting framework.

#### **d. Corrective Action Management**

The system should support tracking and managing corrective actions and follow-ups, automate reminders and notifications, and allow users to see the progress of corrective actions.

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### **e. Integration**

The system should integrate in exchange data and harmonization with NAOSL's existing systems and make it easy for NAOSL to identify how the integration process works and the potential challenges needed to take remedial actions.

### **f. Workflow and Customization**

- i. The system is needed to provide a clear workflow for managing the audit processes from planning to reporting, to arrange to meet NAOSL's specific needs, and to support collaboration and communication among audit team members.
- ii. The system should be flexible in terms of customization, adapting to changes in audit processes and regulations, customizing the system's appearance and settings to users' preferences, and offering options for creating personalized dashboards and reports.

### **g. Mobile Access and Security**

- i. Options for offering mobile access for auditors to conduct audits, access information, and apply different security measures are in place to protect sensitive audit data.
- ii. The system should comply with relevant industry standards and regulations and ensure data privacy and confidentiality.

### **h. Customer Support**

- i. The system should provide the maximum level of customer support tools such as availability of response times, multiple support channels like phone, email and online chat, features for collaboration, communication, support for remote audits and virtual meetings among audit team members.
- ii. The vendor/system offers sufficient and comprehensive training materials and resources related to AMS.



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### **i. Data Analytics**

The solution is needed to analyze audit data to identify trends, patterns, and anomalies, and it should offer predictive analytics capabilities to anticipate future issues.

#### **7.4. The Additional Information expect by the NAOSL**

- a. Model (modality) of license fee, if any. Enterprise or per user; perpetual or annual basis and the past history of increase in license fee
- b. Costs associated, if any, with update/ upgrade of the solutions in future
- c. Options available for software as a service where payments are linked to the level of usage (like a Cloud Service Provider) and not necessarily as a upfront payment.
- d. Hosting of the application – Cloud or in-premise
- e. Implementation and technical support arrangements – any tie up with local firms in Sri Lanka or neighboring countries
- f. List of SAI's that the application is successfully implemented

#### **8. User Experiences, Performance and Vendor Support**

- a. The system should be user-friendly and intuitive for auditors of varying technical backgrounds. It should provide straightforward navigation and easy access to essential features.
- b. The system must handle many audits and maintain data speed, responsiveness, and stability with minimum performance bottlenecks or limitations.
- c. Possibility of vendor to support the client adequately, vendor reputation and the period of supporting

#### **9. Additional Considerations**

- a. The possibility of the system supporting local languages such as Sinhala and Tamil.

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- b. The ability of the system to meet the specific regulatory requirements of Sri Lanka to ensure local regulatory compliance.
- c. The system's methods address data privacy and security concerns in accordance with Sri Lankan and international laws and regulations.
- d. The basis of costing system updates, licenses, and upgrades.

**10. SECTION 3 - Preparing and Submitting a Response**

**10.1. Preparing a Response**

**a. Respondent Obligations**

The Respondent must:

- i. Read the complete RFI and any additional information provided and referred to by the NAOSL
- ii. Consider the risks and contingencies relating to the delivery of the RFI requirements and outline how it will manage those risk contingencies
- iii. Include any assumptions, dependencies and/or qualifications in the Response, including anything that may limit its obligations or increase its quoted pricing or cost estimates
- iv. Obtain independent advice before submitting a Response (if necessary)
- v. Make sure that the responses are correct and accurate as much as possible

**b. Process Acceptance**

By submitting a Response, the Respondent accepts the RFI-Terms.

**10.2. No Obligation, No Penalty**

Suppliers are not expected or required to submit a response to remain on any prequalified or registered supplier list.

**10.3. Respondent Questions**

- a. The Respondent must make sure they understand the RFI.
- b. If the Respondent has any questions or needs clarification, they:
  - i. Must submit questions before the deadline for questions (Section 1 of the RFI)
  - ii. Must indicate any commercially sensitive information in their questions
  - iii. May withdraw their questions at any time.

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- c. When the NAOSL, the buyer receives questions before the deadline for questions:
  - i. The NAOSL will respond on or before the deadline for answers.
  - ii. The NAOSL may provide details of the questions and the answers to other Respondents. In these circumstances, the NAOSL will summarize the questions and not disclose the Respondent's identity.
  - iii. The NAOSL will not publish the Respondent's commercially sensitive information.
  - iv. However, if the NAOSL considers the information significant for all Respondents, the NAOSL may modify the question and publish both this and the answer. In that case, the NAOSL will first allow the Respondent to withdraw the question or remove any of their own commercially sensitive information.

**10.4. Submitting a Response**

- a. The Respondent must ensure the NAOS receives the **Response through the correct e-mail address on or before the Deadline for Responses.**
- b. After the Deadline for Responses, the NAOSL will acknowledge receipt of the Response.
- c. The Respondent must ensure that all information they provide to the Buyer:
  - i. is true, accurate and complete
  - ii. is not misleading in any material respect
  - iii. does not contain material that infringes a third party's intellectual property right
  - iv. is identical if they supply both hard and soft copies.
- d. The NAOSL may rely on the Response and all information provided by the Respondent during the RFI process (e.g., correspondence and negotiations).

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**10.5. Clarification of Response**

- a. The NAOSL may ask the Respondent for more information or clarification on the Response at any time during the RFI process.
- b. The NAOSL need not ask all Respondents for the same clarification.
- c. The Respondent agrees to provide the information or clarification as soon as possible in the format requested by the NAOSL.

**10.6. Standard RFI Conditions - Buyer's Point of Contact**

- a. The Respondent must direct all RFI enquiries to the NAOSL's Point of Contact specified in Section 1 of the RFI.
- b. Only the Point of Contact, or a person authorized by the NAOSL, may communicate with the Respondent on any aspect of the RFI. The NAOSL will not be bound by any statement made by any other person.
- c. The NAOSL may change its Point of Contact at any time. The NAOSL will notify the Respondent of any change by email.
- d. If a Respondent has an existing contract with the NAOSL, business-as-usual communications will continue using the usual contacts to manage the delivery of that contract.
- e. If the Respondent has an existing contract with the NAOSL, it must not use its business-as-usual communications to contact the NAOSL regarding the RFI.

**10.7. Confidential Information**

- a. Without limiting any other confidentiality agreement, the NAOSL and the Respondent will take reasonable steps to protect the other party's Confidential Information.
- b. Except as permitted by the other provisions of this RFI document, neither party will disclose the other party's Confidential Information to a third party without that other party's prior written consent.
- c. Each party may disclose the other party's Confidential Information to anyone directly involved in the RFI process on that party's behalf, but

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only to participate in the RFI. This could include (but is not limited to) officers, employees, consultants, contractors, professional advisors, evaluation panel members, partners, principals or directors. Where this occurs, the disclosing party must take reasonable steps to ensure the third party does not disclose the information to anyone else and does not use the information for any purpose other than participating in the RFI process.

- d. The Respondent may disclose the NAOSL's Confidential Information to the extent strictly necessary to comply with the law or the rules of any stock exchange on which the securities of the Respondent or any related entity are currently listed. Unless the law prohibits the Respondent from consulting with the NAOSL before making such a disclosure.
- e. The NAOSL will not breach its obligations if it discloses Confidential Information to the appropriate authority because of suspected collusive or anti-competitive tendering behavior.

### **10.8. Costs of Participating in the RFI Process**

Except as otherwise stated in the RFI, the Respondent must pay to prepare and present the Response.

### **10.9. Ownership of the Documents**

- a. The RFI and its contents remain the property of the NAOSL. All Intellectual Property rights in the RFI remain the property of the NAOSL or its licensors.
- b. The NAOSL may request the immediate return or destruction of any RFI documents and copies, in which case the Respondent must comply on time.
- c. All documents forming part of the Response will, once delivered to the NAOSL, become the property of the NAOSL. The Response will not be returned to the Respondent.

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- d. Intellectual Property rights in the Response remain the property of the Respondent or its licensors.
- e. The Respondent grants the NAOSL licenses to retain, use, copy and disclose information contained in the Response for any purpose related to the RFI process, including keeping appropriate records.

**10.10. Limited Rights and Obligations**

Unless stated otherwise in this paragraph, nothing in the RFI, these RFI Terms or the RFI process creates a contract or any other legal relationship between the NAOSL and Respondent.

**11. NAOSL's Additional Rights**

**a. Changes to the RFI**

- i. The NAOSL may amend, suspend, cancel or re-issue the RFI, or any part of it, so long as it notifies the Respondent.
- ii. The NAOSL may change material aspects of the RFI, such as the timeline or requirements, provided the Respondent has time to update its response about the changes.

**b. Timeline**

- i. The NAOSL may accept a late response if it is the Buyer's fault it is late or if the NAOSL considers there is no material prejudice against other Respondents in accepting a late response.
- ii. The NAOSL may answer a question submitted after the Deadline for Questions and notify all Respondents about the submission of the question and the answer.

**c. RFI Process**

- i. The NAOSL may liaise with any Respondent without informing or doing the same with any other Respondent.
- ii. The NAOSL may provide Respondents with information arising from questions about the RFI.
- iii. The NAOSL may withhold information arising from questions

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about the RFI. This may be the case if the information is unnecessary, commercially sensitive, inappropriate to supply at the time of the request, or cannot be released for legal reasons.

- iv. The NAOSL may waive requirements or irregularities around the RFI process if the Buyer considers it appropriate or reasonable.

**12. Disclaimer**

- a. Nothing contained or implied in the RFI, RFI process, or any other communication by the NAOSL to the Respondent is to be construed as legal, financial or other advice.
- b. The NAOSL will endeavor to provide accurate information in any communication, but the Respondent accepts this information is not independently verified and may not be up-to-date.
- c. The NAOSL will not be liable in contract, tort, equity, or in any other way for any direct or indirect damage, loss or cost incurred by the Respondent or any other person in respect of the RFI process, whether as a result of the NAOSL exercising its rights under paragraph 9.11, the NAOSL's negligence or breach of these RFI Terms, the Buyer failing to select the Respondent as the Successful Respondent, or any other cause.
- d. The limitations and exclusions in paragraphs c and d above do not apply to any liability the NAOSL may have for breach of confidentiality or infringement of the Respondent's intellectual property rights.

**13. Definitions**

Concerning the RFI, the following words and expressions have the meanings described in the table below.

<b>Buyer</b>	The National Audit Office of Sri Lanka – (NAOSL).
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<p><b>Confidential Information</b></p>	<p>Confidential Information of a party (Provider) means information acquired by the other party (Recipient) from the Provider in connection with the RFI process, where that information:</p> <ul style="list-style-type: none"> <li>a. is by its nature confidential</li> <li>b. is marked at the time of disclosure to the Recipient as ‘confidential’, ‘in confidence’, ‘restricted’, ‘sensitive’, ‘secret’ or ‘top secret’, and/or</li> <li>c. the Recipient knows, or ought to know, is confidential to the Provider or a third party who supplied it to the Provider.</li> </ul> <p>However, this does not include publicly available information that the Recipient acquired entirely independently of the Provider or that the Recipient obtained through no fault of the Provider.</p>
<p><b>Conflict of Interest</b></p>	<p>A Conflict of Interest arises if personal or business interests, relationships, or obligations of the Respondent or any of its personnel do, could, or could be perceived to:</p> <ul style="list-style-type: none"> <li>a. conflict with the Respondent’s obligations to the NAOSL under the RFI or in the provision of the goods or services, and/or</li> <li>b. call into question the independence, objectivity or impartiality of any person involved in the RFI process on behalf of the NAOSL.</li> </ul> <p>A Conflict of Interest may be:</p> <ul style="list-style-type: none"> <li>c. actual: where the conflict currently exists</li> <li>d. potential: where the conflict is about to happen or could happen, or</li> <li>e. perceived: where other people may reasonably think a person is compromised.</li> </ul>
<p><b>Deadline for Questions and Answers</b></p>	<p>Section 1.2 of the RFI states the deadline for the NAOSL’s questions and to responses submitted by respondents.</p> <p>However, it will be on or before;</p> <ul style="list-style-type: none"> <li>i. Deadline for Questions: 10.00 am, 13 / Dec. / 2024</li> <li>ii. Deadline for Responses: 3.00 pm, 13 / Dec. / 2024</li> </ul>
<p><b>Deadline for Responses</b></p>	<p>The deadline for delivering or submitting Responses to the Buyer is stated in Section 1 of the RFI.</p>
<p><b>Deadline for Questions</b></p>	<p>The deadline for submitting questions to the Buyer is stated in Section 1 of the RFI.</p>



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<b>Intellectual Property</b>	All industrial and intellectual property rights, whether conferred by statute, common law, or equity, include (but are not limited to) copyright, trademarks, designs, and patents.
<b>Buyer</b>	The government agency that has issued the RFI with the intent of obtaining information.
<b>Point of Contact</b>	The Buyer and each Respondent are required to appoint a Point of Contact. This channel will be used for all communications during the RFI process. The Buyer's Point of Contact is identified in Section 1 of the RFI. The Respondent's Point of Contact is recognized in its Response.
<b>Respondent</b>	A person, company, or organization that submits a response to the RFI. The term Respondent includes each member of any consortium.
<b>Response</b>	The response a Respondent submits in reply to the RFI. It comprises the Response Form and all other information submitted by a Respondent.
<b>Response Form</b>	The form and declaration prescribed by the Buyer and used by the Respondent to respond to the RFI are duly completed and submitted as part of the Response.
<b>RFI</b>	Means the Request for Information.
<b>RFI-Terms</b>	This means the RFI Terms set out in Section 9 of the RFI.