



NCIA/ACQ/2023/07400
20/October/2023

REQUEST FOR INFORMATION

PROJECT “Supply chain security and compliance”

NCI Agency Reference: RFI-CO-423203-FIN

NCI Agency is seeking information from Nations and their Industry in order to assess the availability of a commercial solution for supply chain security and compliance.

NCI Agency Point of Contact

Senior Contracting Assistant: Mihaela Zoicas

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To: Distribution List (Annex A)

Subject: NCI Agency Request for Information RFI-CO-423203-FIN

1. NCI Agency requests the assistance of the Nations and their Industry to identify a commercially available solution that can meet or exceed NATO requirements for a supply chain security and compliance tool.
2. A summary of the requirements is set forth in the Annex B attached hereto. Respondents are requested to reply via the questionnaire at Annex C. Other supporting information and documentation (technical data sheets, descriptions of existing installations, etc.) are also desired.
3. The NCI Agency reference for this Request for Information is **RFI-CO-423203-FIN** and all correspondence and submissions concerning this matter should reference this number.

4. Respondents are invited to carefully review the requirements in Annex B.
5. Responses shall in all cases include the name of the firm, telephone number, e-mail address, designated Point of Contact, and a NATO UNCLASSIFIED description of the capability available and its functionalities. This shall include any restrictions (e.g. export controls) for direct procurement of the various capabilities by NCI Agency. Non-binding pricing information is also requested as called out in Annex C.
6. Responses are due back to NCI Agency no later than **12:00 Brussels time on Monday 20 November 2023**.
7. Clarification requests can be submitted no later than 10 calendar days prior the RFI closing date.
8. Please send all responses via email to the following NCI Agency Point of Contact:
For the attention of: Mrs Mihaela Zoicas at Mihaela.Zoicas@ncia.nato.int
9. NCI Agency reserves the right to request for a service demonstration to selected suppliers. However, the NCI Agency may seek additional clarification from respondents.
10. Respondents are requested to await further instructions after their submissions and are requested not to contact directly any NCI Agency staff other than the POC identified above in Paragraph 7.
11. Any response to this request shall be provided on a voluntary basis. Not responding will not prejudice or cause the exclusion of companies from any future procurement that may arise from this Request for Information.
12. Responses to this request, and any information provided within the context of this survey, including but not limited to pricing, quantities, capabilities, functionalities and requirements will be considered as information only and will not be construed as binding on NATO for any future acquisition.
13. The NCI Agency is not liable for any expenses incurred by firms in conjunction with their responses to this Request for Information and this shall not be regarded as a commitment of any kind concerning future procurement of the items described.
14. Your assistance in this Request for Information request is greatly appreciated.

FOR THE CHIEF OF ACQUISITION:

Mihaela Zoicas Digitally signed by
Mihaela Zoicas Mihaela Zoicas
Date: 2023.10.20 Senior Contracting Assistant
15:20:46 +02'00'

Enclosures:

- Annex A (Distribution List)
- Annex B (Request for Information - Summary of Requirements)
- Annex C (Request for Information - Questionnaire)

ANNEX A

**Distribution List for Request for Information
RFI-CO-423203-FIN**

All NATO Delegations (Attn: Investment Adviser)

NATO Members Embassies in Brussels (Attn: Commercial Attaché)

NCI Agency – All NATEXs

NCI Agency – (reserved)

ANNEX B

Summary of Requirements

1. Background

- 1.1. The NCI Agency, has an intent to increase the security level of its supply chain operations and perform compliance checks on the prospective suppliers that plan to conduct business with the NCI Agency. The purpose of this intent, is to identify the ultimate beneficiaries of transactions, as well as clearance with sanctions, antiterrorism and money laundering lists, ensuring that the NCI Agency fulfils the 'know your business' requirements. These compliance checks could also be performed at the transactional level on an ongoing basis.
- 1.2. There are certain online tools available to perform such compliance and sanction list checks which can enhance the compliance level of operations.

2. Purpose

- 2.1. The purpose of this project is for the NCI Agency to have access to up to date databases in order to perform such compliance checks as a regular and integrated part of supplier onboarding process as well as enabling these compliance checks at the transactional level [Control at Transaction / disbursement time – frequency to be determined].
- 2.2. As banks are requesting more and more detailed information about the payments and suppliers related to potentially risky transactions, the NCI Agency needs to provide confidence to the banking partners that all necessary compliance checks have been performed and that there is a robust counterparty risk management process in place.
- 2.3. The NCI Agency intent is also to know available tools that can help to improve the procure to pay (P2P) process controls.

3. Project Scope

- 3.1. The NCI Agency is exploring the potential for industry to provide commercially available tools that would allow the NCI Agency to perform digital compliance checks on the companies before onboarding them as suppliers and enable similar automated compliance checks at transactional level as part of the standard vendor data management and payment processes within P2P.
- 3.2. The main objective of this task is to perform compliance checks against sanction lists (i.e. run single searches against a consolidated list of major global sanctions lists like – for instance - US sanction list (OFAC), European list Common Foreign & Security Policy (CFSP), etc).
- 3.3. The Agency aims to increase the efficiency and effectiveness of P2P process controls.
- 3.3. Three options are being considered for this business requirements:

- 3.3.1. Under option A – Basic requirements
 - 3.3.2. Under option B – Advanced requirements
 - 3.3.3. Under option C – Future or integrated requirements
- 3.4. Business Requirements: all options should have the possibility to be integrated with the Agency ERP (Oracle based) system and TMS (Treasury Management System)

3.4.1. BASIC – OPTION A

- 3.4.1.1. For compliance checks at Supplier Creation (Ad-hoc compliance checks) - the tool should enable the NCI Agency to check if the prospective supplier or any of its' related parties (main shareholders, sister companies, subsidiaries, etc.) are on any sanctions lists (consolidated list of major global sanctions lists).
- 3.4.1.2. For ad-hoc compliance checks – the tool should allow automated compliance checks on the existing supplier database with possibilities to upload the existing supplier base and run automated compliance checks.

3.4.2. ADVANCED – OPTION B

- 3.4.2.1. For compliance checks at the transaction level - similar automated compliance controls at the transactional level on the payment batches before sending them to the banks for execution.
- 3.4.2.2. The consolidated sanction lists should be current and comprehensive.
- 3.4.2.3. In case of any red flags, a detailed report of the underlying reasons should be available.
- 3.4.2.4. In addition to the above, the solution should be in compliance with NATO Cyber Security and related technical requirements that will be provided at the RFQ stage.

3.4.3. ENLARGED SCOPE - OPTION C

- 3.4.3.1. Tools that provide full set of Bank databases in SWIFT network, especially covering the banks based in NATO nations, with a possibility to upload in to the NCI Agency's tool (EBA – Oracle based system) without disturbing ongoing transactions in the system.
- 3.4.3.2. Payment tracking tool that enables the NCI Agency's Treasury department to follow-up on the status of the unique payments with an option to recall before it arrives at the beneficiary's bank account.
- 3.4.3.3. Transaction screening tool (pre-validation) that controls the payment details of the transaction in the payment batches and raises red flags where it finds incompliances (e.g. beneficiary name is different, etc.)

ANNEX C **Questionnaire**

Organisation name:

Contact name & details within organisation:

Notes

- Please **DO NOT** alter the formatting. If you need additional space to complete your text then please use the 'Continuation Sheet' at the end of this Annex and reference the question to which the text relates to.
- Please feel free to make assumptions, *HOWEVER* you must list your assumptions in the spaces provided.
- Please **DO NOT** enter any company marketing or sales material as part of your answers within this Request for Information. But please submit such material as enclosures with the appropriate references within your replies. If you need additional space, please use the sheet at the end of this Annex.
- Please **DO** try and answer the relevant questions as comprehensively as possible.
- All questions within this document should be answered in conjunction with the summary of requirements in Annex B.
- Cost details required in the questions refer to Rough Order of Magnitude (ROM) Procurement & Life Cycle cost, including all assumptions the estimate is based upon:
 - Advantages & disadvantages of your service/solution/organisation,
 - Any other supporting information you may deem necessary including any assumptions relied upon.

Questions

1. Please indicate the areas where your solution can meet the requirements:

Requirements	Detail	Does your solution cover this requirement? (YES/NO/PARTIALLY)
BASIC OPTION A	3.4.1.1	
	3.4.1.2	
ADVANCED – OPTION B	3.4.2.1	

	3.4.2.2	
	3.4.2.3	
	3.4.2.4	To be discussed at RFQ level
ENLARGED SCOPE - OPTION C	3.4.3.1	
	3.4.3.2	
	3.4.3.3	

2. Please provide the details of your solutions where you can meet the requirements totally or partially:

3. BASIC – OPTION A: If your solution meets the requirements, please indicate how often the database is being updated with the sanction lists:

4. ENLARGED SCOPE - OPTION C:
 - a. 3.4.3.1: Please indicate how the implementation will impact the open commitments in the system? In case the current database replaced with your solution, how much effort is needed for a seamless transition without disturbing the ongoing business?

 - b. 3.4.3.2: Please indicate the exact scope of your solution including the payment types and geographies.

 - c. 3.4.3.3: Please indicate the scope and limitations of your solution. Provide historical the success rate of your pre-validation solution if available.

Continuation Sheet

Please feel free to add any information you may think that may be of value to NCI Agency in the space provided below. Should you need additional space, please copy this page and continue with the appropriate page numbers.