

REQUEST FOR PROPOSAL (RFP)

RFP NUMBER	RFQ 322-04-2024 (Readvertisement)
DATE ISSUED	24 May 2024
PROJECT NAME	Quality Assurance Review for Internal Audit Division (Self-Assessment with an independent external validation)
CLOSING DATE AND TIME	10 June 2024 @ 11:00
NAME OF PROPOSER/TENDERER	
CSD SUPPLIER NUMBER (MA NUMBER)	
TELEPHONE NUMBER	
FAX NUMBER	
EMAIL ADDRESS	
PHYSICAL ADDRESS	
B-BBEE STATUS LEVEL OF CONTRIBUTION	
FULL NAME OF BIDDER OR HIS OR HER REPRESENTATIVE	
IDENTITY NUMBER	
POSITION OCCUPIED IN THE COMPANY (DIRECTOR, TRUSTEE, SHAREHOLDER)	
COMPANY REGISTRATION NUMBER	
TAX REFERENCE NUMBER	
VAT REGISTRATION NUMBER	
QUOTE PRICE (INCL VAT)	

SIGNATURE	
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Full details of directors / trustees / members / shareholders.

Full Name	Identity Number	Personal Tax Reference Number	State Employee Number / Persal Number

A. BIDDER'S DISCLOSURE (SBD 4)

1. PURPOSE OF THE FORM

Any person (natural or juristic) may make an offer or offers in terms of this invitation to bid. In line with the principles of transparency, accountability, impartiality, and ethics as enshrined in the Constitution of the Republic of South Africa and further expressed in various pieces of legislation, it is required for the bidder to make this declaration in respect of the details required hereunder.

Where a person/s are listed in the Register for Tender Defaulters and / or the List of Restricted Suppliers, that person will automatically be disqualified from the bid process.

2. Bidder's declaration

- 2.1 Is the bidder, or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest¹ in the enterprise, employed by the state? **YES/NO**

¹ the power, by one person or a group of persons holding the majority of the equity of an enterprise, alternatively, the person/s having the deciding vote or power to influence or to direct the course and decisions of the enterprise.

- 2.1.1 If so, furnish particulars of the names, individual identity numbers, and, if applicable, state employee numbers of sole proprietor/ directors / trustees / shareholders / members/ partners or any person having a controlling interest in the enterprise, in table below.

Full Name	Identity Number	Name of State institution

- 2.2 Do you, or any person connected with the bidder, have a relationship with any person who is employed by the procuring institution? **YES/NO**

- 2.2.1 If so, furnish particulars:

.....
.....

- 2.3 Does the bidder or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest in the enterprise have any interest in any other related enterprise whether or not they are bidding for this contract? **YES/NO**

- 2.3.1 If so, furnish particulars:

.....
.....

3 DECLARATION

I, the undersigned, (name)
in submitting the accompanying bid, do hereby make the following
statements that I certify to be true and complete in every respect:

- 3.1 I have read, and I understand the contents of this disclosure;

- 3.2 I understand that the accompanying bid will be disqualified if this disclosure is found not to be true and complete in every respect;
- 3.3 The bidder has arrived at the accompanying bid independently from, and without consultation, communication, agreement, or arrangement with any competitor. However, communication between partners in a joint venture or consortium² will not be construed as collusive bidding.
- 3.4 In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications, prices, including methods, factors or formulas used to calculate prices, market allocation, the intention or decision to submit or not to submit the bid, bidding with the intention not to win the bid and conditions or delivery particulars of the products or services to which this bid invitation relates.
- 3.5 The terms of the accompanying bid have not been, and will not be, disclosed by the bidder, directly or indirectly, to any competitor, prior to the date and time of the official bid opening or of the awarding of the contract.
- 3.6 There have been no consultations, communications, agreements, or arrangements made by the bidder with any official of the procuring institution in relation to this procurement process prior to and during the bidding process except to provide clarification on the bid submitted where so required by the institution; and the bidder was not involved in the drafting of the specifications or terms of reference for this bid.
- 3.7 I am aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to bids and contracts, bids that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and or may be reported to the National Prosecuting Authority (NPA) for criminal investigation and or may be restricted from conducting business with the public sector for a period not exceeding ten (10) years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.

I CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS 1, 2 and 3 ABOVE IS CORRECT.

I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME IN

² Joint venture or Consortium means an association of persons for the purpose of combining their expertise, property, capital, efforts, skill and knowledge in an activity for the execution of a contract.



TERMS OF PARAGRAPH 6 OF PFMA SCM INSTRUCTION 03 OF 2021/22 ON PREVENTING AND COMBATING ABUSE IN THE SUPPLY CHAIN MANAGEMENT SYSTEM SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....
Signature Date

.....
Position Name of bidder

B. REQUEST FOR PROPOSAL

1. BACKGROUND TO SANSA

SANSA seeks the services of an appropriately experienced service provider with experienced and qualified staff to conduct an independent comprehensive Quality Assurance Review on the Internal Audit division located at the Innovation Hub in Pretoria.

In terms of the “**International Standards for the professional practice of Internal Auditing-STD 1312 External assessments**” external assessments must be conducted at least once every five years by a qualified, independent assessor or assessment team from outside the organisation. External assessments may be accomplished through a full external assessment, or a self-assessment with independent external validation. The approach required for this review is a comprehensive and fully documented self-assessment process that emulates the full external assessment process, at least with respect to evaluating the internal audit activity's conformance with the Standards and Code of Ethics.

This approach of the external assessment is firstly conducted by the internal audit activity and then validated by a qualified, independent external assessor. The scope should consist of:

- Validation by a qualified, independent external quality assessor or assessment team. The independent validation should determine that the internal assessment was conducted completely and accurately.
- Benchmarking, leading practices, and interviews with key stakeholders, such as board members, senior management, and operational management.
- Meetings and engagements will be held either online or in person at one of the SANSA sites, or within a 100km radius from the sites.
- Any additional templates/ documents required for the QAR evaluation must be supplied by the bidder and further documents deemed necessary that is not stipulated in the tender advert.

The external quality assessment should include a comprehensive review of the adequacy of the internal audit function's:

- Conformance with the Global Internal Audit Standards.
- Mandate, charter, strategy, methodologies, processes, risk assessment, and internal audit plan.
- Compliance with applicable laws and/or regulations.
- Performance criteria and measures as well as assessment results.
- Competencies and due professional care, including the sufficient use of tools and techniques, and focus on continual development.
- Qualifications and competencies, including those of the chief audit executive role, as defined by the organization's job description and hiring profile.

- Integration into the organization's governance processes, including the relationships among those involved in positioning the internal audit function to operate independently.
- Contribution to the organization's governance, risk management, and control processes.
- Contribution to the improvement of the organization's operations and ability to attain its objectives.
- Ability to meet expectations articulated by the board, senior management, and stakeholders.

Qualifications of the assessment team must include:

- At least one member of the assessment team should hold a "Certified Internal Auditor-CIA" qualification.
- Experience with and knowledge of the Standards and leading internal audit practices.
- Experience in the organization's industry or sector.
- Previous experience performing external quality assessments.
- Completion of external quality assessment training recognized by The Institute of Internal Auditors.
- Attestation by assessment team members that they have no conflicts of interest, in fact or appearance.

EXPECTED OUTCOMES AND DELIVERABLES

The structure of the report is to be as follows:

- Executive Summary
- Opinion as to conformance with Standards
- Scope and Methodology
- Recommendations and Observations

On completion of the assignment, the service provider must distribute the results of report to management and will be required to report the results to the Audit and Risk Committee of SANSA.

The bidder(s) must formally make available all working papers, data, documents, reports, and evidence collected or prepared during the review.

*** All content/material supplied or developed on behalf of SANSA remains the property of SANSA and should be treated as confidential.**

C. EVALUATION CRITERIA

SANSA promotes the concept of "best value" in the award of contracts, as opposed to merely looking for the cheapest price, which does not necessarily provide the best value. Best value incorporates the expertise, experience and technical proposal of the organisation and individuals who will be providing the service and the organisational capacity supporting the project team.

SANSA is committed to achieving Government's transformation objectives in terms of the Preferential Procurement Policy Framework Act.

The value of this bid is estimated not to exceed R1 million (all applicable taxes included) and therefore the **80/20** system shall be applicable.

Please Note: the above amount (R1 million) is not the budgeted amount for this project, but it is the Treasury threshold for written price quotations.

The procedure for the evaluation of responsive tenders is **price, functionality (quality) and preference** method. The evaluation of the bids will be conducted in the following two stages:

- Firstly, the assessment of quality will be done in terms of the evaluation criteria (Table 3) and the minimum threshold of 70 points explained below. A bid will be disqualified if it fails to meet the minimum threshold for functionality as per the bid invitation.
- Thereafter, only the qualifying bids are evaluated in terms of the 80/20 preference points systems, where the 70 points will be used for price and the 20 points will be awarded to a bidder for attaining the specific goals in accordance with the Table below.

1. Preference

Specific goals for this RFP and number of points are indicated as per table 1 below. Proof of the specific goals below must be attached and submitted with the bid document to qualify for the preference points (specific goals).

Note to tenderers: The tenderer must indicate how they claim points for each preference point system.)

Table 1: Specific Goals and points

The specific goals allocated points in terms of this RFQ (B-BBEE Status Level of Contributor)	Number of points allocated (80/20 system) (To be completed by the organ of state)	Number of points claimed (80/20 system) (To be completed by the tenderer)
1	20	
2	18	
3	14	
4	12	
5	8	
6	6	
7	4	

8	2	
Non-compliant contributor	0	

2. Eligibility Criteria

To be eligible for the functionality, price and preferencing evaluation, the bidder must submit the following as per table 2 below.

If there is “**No**” on the Table 2 below, the bidder who didn't submit the required document (s) with their bid will be requested in writing to submit them within three (3) working days for inclusion in the Bid Evaluation Committee item, if a bidder fails to submit on the 3rd working day, the relevant bid will be rejected.

Table 2: Eligibility Criteria

Criteria	Attached (Yes/No)	Comments
CSD Registration Summary Report		
Proof of at least one member of the team that is a qualified Certified Internal Auditor by the Institute of internal auditors.		
Qualified external quality assessor by the Institute of internal auditors.		
Proof of all members of the team having registered membership with the institute of internal auditors.		

3. Quality/Functionality:

Scores will be tabulated to 100 points. Respondents must score **70 points** and over to be assessed on their financial offer and preference score.

The allocation of points for the evaluation of quality/functionality is set out in Table3 below:

Table 3: Quality/Functionality Criteria

Criteria	Maximum Points
1. Methodology	40

2. Company/Bidder's Experience and References	20
3. Experience of Key Staff (Lead individual and project team)	40
Total evaluation points for quality (functionality)	100

Evaluation Criteria 1: Methodology

The methodology must respond to the proposed scope of work and outline the project methodology and approach to be employed for the execution of the service.

The scoring of the proposed approach will be as follows:

Points 40	Proposal and Methodology
Non-Responsive (Score 0)	The service provider has not provided a methodology
Poor (Score 10)	The proposal is poor or is unlikely to satisfy project objectives or requirements. The Service provider has misunderstood certain aspects of the scope of work and does not deal with the critical aspects of the scope of the work. The proposal omits important outcomes and understanding of scope of work is inconsistent with the approach paper.
Moderate (Score 30)	The proposal is specifically tailored to address all scope of work objectives and requirements. There is a fair degree of detail that facilitates understanding of the proposed scope of work.
Excellent (Score 40)	Beyond comprehensively addressing all aspects of the scope of work, the proposal goes a step further by proactively outlining strategies to enhance project outcomes and deliver additional value.

Evaluation criteria 2: Company experience and references

The bidder must have demonstrable experience in providing Quality assurance reviews done on internal audit functions of other entities. The bidder must present at least 5 valid reference letters, on the client's letterhead, for which they have conducted similar services within the last 3 years (at least of two (2) reference letters from state owned entities for which they have provided similar services). Reference letters must indicate the periods and the year(s) in which such services were rendered, and the letters will be used to evaluate this criterion.

The bidder must have at least five (5) years' experience in conducting Quality Assurance Reviews. (Reference letter per year)

The bidder should briefly describe company experience in the same format as the schedule below and attach these. Complete the below table and provide letters:

Company Name	Contact Person, phone number(s) & email	Description of Service Rendered	Date(s) of the project.

Please note that SANSA reserves the right to contact references provided to verify the information.

Failure to provide all 5 reference letters will result in the bidder losing points as follows:

Points 20	Company Experience and References
Non-Responsive (score 0)	No letters submitted or less than two reference letters in Public Institutions as listed in PFMA schedules 3A and 3C
Poor (Score 5)	Service provider has limited experience in conducting and reporting in performing Internal Audit Quality Assurance Reviews preferably of Public Institutions as listed in PFMA schedules 3A and 3C (less than 2 years in similar work with at least 2 reference letters in public entities in similar work).
Good (Score 10)	Service provider has limited experience in conducting and reporting in performing Internal Audit Quality Assurance Reviews preferably of Public Institutions as listed in PFMA schedules 3A and

	3C (2-5 years in similar work with at least 2 reference letters in public entities in similar work).
Excellent (Score 20)	Service provider has limited experience in conducting and reporting in performing Internal Audit Quality Assurance Reviews preferably of Public Institutions as listed in PFMA schedules 3A and 3C, (more than 5 years with at least 2 reference letters in public entities in similar work).

Evaluation criteria 3: Team Experience

The bidder's key personnel of the proposed team must have relevant qualifications, skills, and experience in Quality Assurance reviews on internal audit functions. The bidders must submit, as part of its proposal, proof that:

- The full external assessment team comprises of personnel at a managerial level.
- The team leader/ consultant should have experience that is comparable to that of the Chief Audit Executive.
- The team leader/consultant should be a competent, certified internal audit professional.
- Copies of qualification and IIA membership must be attached to the proposal; failure to attach these will result in bidders being disqualified.

The scoring of the Team Experience will be as follows:

Points 40	Experience
Non-Responsive (score 0)	Service provider has not provided proof of specialist(s) and Key Personnel's CV/profiles, proof of qualifications and IIA membership.
Poor (Score 10)	Specialist(s) and Key Personnel have limited levels of experience (less than 3 years) based on their CV/profiles and proof of qualifications and IIA membership attached.
Good (Score 30)	Specialist(s) and Key Personnel have extensive levels of experience (3-5 years) based on their CV/profiles and proof of qualifications and IIA membership attached
Excellent (Score 40)	Specialist(s) and Key Personnel have outstanding levels of experience (more than 5 years) based on their CV/profiles and proof of qualifications and IIA membership attached.

D. PRICING SCHEDULE

Pricing Instructions

1. The Bidder must price all items.
2. Rates are to include all costs with no unspecified cost to allow for a fair evaluation.
3. Payment will be made based on the deliverables (proven progress) for the services rendered/goods received.
4. Payment will only be made based on invoices provided.
5. Offer to be valid for 30 days from the bid closing date.

DESCRIPTION	AMOUNT
Comprehensive Report	
Disbursements SANSA Pretoria/Hermanus/Hartebeeshoek	
TOTAL CONTRACT AMOUNT (EXCLUDING VAT)	
VAT (15%)	
TOTAL CONTRACT AMOUNT (INCLUDING VAT)	

E. SPECIAL CONDITIONS

- a) Quotations to be returned to Karabo Magetse: kmagetse@sansa.org.za
- b) The service provider shall commit to post support where and when required by SANSA.
- c) Contract will not be awarded unless supplier is registered on the Central Supplier Database. A supplier registration summary with a compliance tax status must be submitted with the proposal. Potential suppliers should contact SANSA should they require assistance in registering on the CSD) before the closing date of the bid.
- d) This RFP is part of the Supplier Development Programme (SDP). The recommended bidder will be required to sign the SDP agreement for shorter payment periods for EMEs.
- e) The offices of SANSA are situated at the following address:
Shop 2 Enterprise Building
Mark Shuttleworth Street
The Innovation Hub
Pretoria, 0087

F. TIMELINES

- a. The successful service provider must be in the position to provide the goods/service within 2 weeks after the purchase order has been issued by SANSA.

G. SUPPORTING DOCUMENTATION AND MINIMUM CRITERIA

To demonstrate their capacity and score points with respect to the criteria, tenderers should provide the following supporting documentation.

- b. A method statement of how the tenderer proposes to implement the project.
- c. 3 References including organisation name, contact person and contact numbers.
- d. Proof of specific goals must be submitted to qualify for preference points (specific goals).
- e. Quotation must reflect a cost breakdown, where applicable, prices quoted must be inclusive of VAT.
- f. All pages of quotation must be signed by the authorised person.
- g. SANSA has the right to withdraw any quotation at any time within the validity of the quotation.
- h. SANSA reserves the right to invite bidders to present their bid proposals for final decision or visit the bidders' premises as part of the evaluation process.

H. DECLARATION

The undersigned, who warrants that he / she is duly authorized to do so on behalf of the enterprise:

- i) confirms that neither the name of the enterprise or the name of any partner, manager, director or other person, who wholly or partly exercises, or may exercise, control over the enterprise appears on the Register of Tender Defaulters established in terms of the Prevention and Combating of Corrupt Activities Act of 2004;
- ii) confirms that no partner, member, director or other person, who wholly or partly exercises, or may exercise, control over the enterprise appears, has within the last five years been convicted of fraud or corruption;
- iii) confirms that I / we are not associated, linked or involved with any other tendering entities submitting tender offers and have no other relationship with any of the tenderers or those responsible for compiling the scope of work that could cause or be interpreted as a conflict of interest;
- iv) confirms that the contents of this questionnaire/forms (SBD 4) are within my personal knowledge and are to the best of my belief both true and correct
- v) accept that, in addition to cancellation of a contract, action may be taken against me should the Declaration prove to be false.
- vi) confirms that the bidder has read the General Conditions of Contract (GCC) and agree with the conditions. The GCC can be found on (<http://www.treasury.gov.za/divisions/ocpo/sc/generalconditions/>)

Signed

Date

Name

Position

Enterprise
name

BID CONDITIONS

1. Disqualification

Please note that if a bid document is not filled in correctly or completely, or complied with the specification, or is delivered/sent after the bid closing date and time, or the supplier is not registered on the CSD or supplier has a non-compliant tax status, then unfortunately that bidder will be disqualified. Please return this document with the required supporting documents.

2. Bid Document Submission

Emailed tender documents will be accepted. However, the onus is on the tenderer to ensure that complete email documents have been received by the SANSA by the due date and time.

Please note that any alterations to the tender document other than filling in the tenderer's details and tender price will automatically disqualify the tenderer.

COMPLIANCE WITH PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013) ("POPIA")

1. The Constitution guarantees citizens the right to privacy, including the right not to have the privacy of their communications infringed.

2. POPIA aims to promote the protection of privacy through the application of its guiding principles for the processing of personal information in a context-sensitive manner.

Committed to your Privacy

3. SANSA fully comprehends that your personal and company information is valuable to you; your privacy is just important to SANSA. SANSA commits to safeguarding and lawfully processing your personal information.

Purpose for Processing your Personal Information

4. SANSA collects, holds, uses and discloses your personal information mainly to provide you with access to its services. SANSA will only process your personal information for a purpose you would reasonably expect, including:

- Complying with any legal and regulatory requirements such as contract agreements, etc.
- Confirming, verifying, and updating your details.
- Invoicing or paying you to ensure payment and tax compliance.

5. SANSA may collect your personal information which may include your first name and last name, company name and its registration number, identity numbers, email address, physical or postal address, other contact information, banking details, etc.

Consent to Disclose and Share your Personal Information

6. SANSA may need to share your personal information, with third parties, to provide advice, and/or services. Where SANSA shares your personal information, it will take all reasonable precautions to ensure that the third party will treat your personal information with the same level of protection as required by SANSA.

Request and Access to your Personal Information

7. Should you require further information on this or have any concerns about how your personal information is processed or used, you can contact SANSA's Information Officer: Mr Humbulani Mudau on popi_paia@sansa.org.za.
8. You can request access to the personal information SANSA has on you at any time. If you think that SANSA has outdated information, you may request to update or correct it. You can also opt-out and request the removal of your personal information at any time. If there are any lawful reasons for requiring SANSA to retain any information, SANSA will advise so.
9. PLEASE TAKE NOTE that your personal information is securely hosted on infrastructure / system managed by SANSA. SANSA assures you that your information will not be shared for any marketing or promotional purposes without your consent.
10. SANSA will continue to manage, monitor, refine and develop policies, processes and systems. This will ensure that SANSA takes every practical and reasonable step(s) to ensure data protection, is in line with POPIA.

END