

## REQUEST FOR QUOTATION (RFQ)

<b>RFQ NUMBER</b>	RFQ202324-R0062						
<b>DATE ISSUED</b>	16 October 2023						
<b>PROJECT NAME/ DESCRIPTION OF GOODS/SERVICES</b>	PROCUREMENT OF INTERNAL AUDITING SERVICES						
<b>PHYSICAL ADDRESS:</b>	Menlyn Central Office Building, 125 Dallas Avenue, Waterkloof Glen, Pretoria 0010						
<b>RFQ'S CLOSING DATE</b>	30 October 2023						
<b>RFQ VALIDITY PERIOD</b>	60 days						
<b>NAME OF FAIS OMBUD SCM REPRESENTATIVE</b>	Onthatile Rakale						
<b>FAIS OMBUD SCM EMAIL ADDRESS</b>	<a href="mailto:supplychain@faisombud.co.za">supplychain@faisombud.co.za</a>						
<b>BIDDER TO COMPLETE THE BELOW INFORMATION</b>							
<b>NAME OF A BIDDER/TENDERER</b>							
<b>TELEPHONE NUMBER</b>							
<b>EMAIL ADDRESS</b>							
<b>FULL NAME OF BIDDER OR HIS/HER REPRESENTATIVE</b>							
<b>NATIONAL TREASURY-CENTRAL SUPPLIER DATABASE (CSD) NUMBER: MAAA</b>	MAAA:						
<b>CSD OVERALL TAX STATUS</b> <i>(Please tick the appropriate box)</i>	<b>TAX COMPLIANT</b>		<b>NON-TAX COMPLIANT STATUS FOUND</b>				
	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<b>POSITION OCCUPIED IN THE COMPANY (DIRECTOR, TRUSTEE, SHAREHOLDER)</b>							
<b>COMPANY REGISTRATION NUMBER</b>							
<b>VAT REGISTRATION NUMBER</b> <i>(If applicable)</i>							

**PREFERENCE POINTS**

1. In this request for quotation, the applicable preference point system envisaged is an 80/20 preference point.

**TABLE 1: SPECIFIC GOALS FOR THE RFQ AND POINTS**

THE SPECIFIC GOALS ALLOCATED POINTS IN TERMS OF THIS RFQ	80/20 PREFERENCE POINTS ALLOCATED	PROOF OF CLAIM FOR A SPECIFIC GOAL
≥ 51% black owned	10	BEE Certificate/Sworn Affidavit/Latest CSD report
≥ 31 % black women owned	6	BEE Certificate/Sworn Affidavit/Latest CSD report
QSE or EME	4	BEE Certificate/Sworn Affidavit/Latest CSD report
<b>Total</b>	<b>20</b>	

<b>A. MANDATORY REQUIREMENTS</b>			
ELIGIBILITY/MANDATORY REQUIREMENTS	Comply	Not Comply	
<b>(NB: FAILURE TO SUBMIT/OR REFLECT THE BELOW ELIGIBILITY REQUIREMENTS AND CONFORMANCE TO THE SCOPE OF WORK WILL RESULT IN NON-COMPLIANCE AND WILL LEAD TO THE BID BEING DISQUALIFIED.)</b>			
I. Registration on National Treasury Central Supplier Database with a compliant tax status			
II. Submission of completed SBD 4			
III. Submission of completed SBD 6.1			
IV. Conformance to the Scope of Work/ Terms of Reference (ToR)			
V. Submission of a quotation			
VI. Bidders are required to submit proof of certification of their senior resources (director or senior manager) to have the appropriate professional qualification(s) enabling them to perform internal audit services. These must include, but is not limited to the following: <ul style="list-style-type: none"> <li>• Certified Internal Auditor (Certified by the Institute of Internal Auditors South Africa (IIA));</li> <li>• Chartered Accountant (SA) (Certified by the South African Institute of Chartered Accountants (SAICA));</li> <li>• Certified Information Systems Auditor (Certified by ISACA);</li> <li>• Certified Risk Management Practitioner (Certified by IRMSA).</li> </ul>			
VII. CV of Director or Senior Manager demonstrating minimum of three years’ experience in conducting internal audit related services.			
VIII. The bidder must submit at least three (3) client reference letters on the client’s company letterhead where internal audit services were successfully rendered by the bidder in the last five (5) years from RFQ closing date. The date when the internal audit service was done, must be indicated on the letter.			
IX. Submission of BEE Certificate or Sworn Affidavit			

## 1. BACKGROUND

The Office of the Ombud for Services Providers ('FAIS Ombud') was established by the Financial Advisory and Intermediary Services Act 37 of 2002 ('FAIS Act'). The FAIS Ombud's role is to resolve disputes between financial services providers and their clients in a procedurally fair, informal, economical, and expeditious manner.

## 2. OBJECTIVE OF SERVICES REQUIRED

2.1 The FAIS Ombud, as Accounting Authority, is required by the Public Finance Management Act (Act 1 of 1999), to maintain adequate accounting records and is responsible for the content and integrity of the annual financial statements and related financial information. It is the responsibility of the FASI Ombud to ensure that the annual financial statements fairly present the state of affairs of the entity as at the end of the financial year and the results of its operations and cash flows for the period then ended.

The FAIS Ombud is required in accordance with Section 51(1)(a)(ii) of the PFMA, to establishment an effective internal audit function under the control and direction of an Audit Committee. To ensure compliance with the provision of the PFMA, the request for quotation is issued to invite parties, in good tax standing, to submit proposals for consideration to be appointed to assist the FAIS Ombud through providing internal audit services in execution of the internal audit coverage plan.

2.2 All questions relating to the contents of the request for quotation (conditions, rules, terms of reference etc.) must be forwarded in writing via email to [supplychain@faisombud.co.za](mailto:supplychain@faisombud.co.za). by not later than 25 October 2023. Questions received after this date will not be entertained.

## 3. SCOPE OF SERVICES TO BE RENDERED

3.1 The FAIS Ombud is looking to appoint a reputable and well-established independent firm of Internal Auditors to perform/conduct the internal audit function for the FAIS Ombud for a period of 12 months.

3.2 The internal audit activities are required to be conducted in accordance with the internal audit charter, internal audit coverage plan and combined assurance framework approved by the Audit Committee in line with accepted best practices in corporate governance and the professional standards of the Institute of Internal Auditors.

3.3 The successful service provider will be required to perform but not limited to the internal audit functions listed below. Should there be any other function be regarded as imperative by the bidder, it should be added and clearly defined. This addition should be made in writing by an authorised individual. The internal audit function must, in consultation with the Audit Committee:

3.3.1 Prepare a strategic Internal Audit Plan based on its assessment of key areas of risk for the Office of the FAIS Ombud, having taken into consideration the entity's current operations, the operations proposed in its strategic plan, annual performance plan and its risk management strategy.

3.3.2 Evaluate effectiveness and efficiency of internal controls and make recommendations on the enhancement of any existing internal controls.

3.3.3 Assessment the security, controls, systems, risks and applications in all areas if the FAIS Ombud business environment.

3.3.4 To review and make recommendations with respect to the FAIS Ombud draft annual financial statements before submission to the Audit and Risk Committee annually.

3.3.5 Prepare an annual Internal Audit Plan for the audits to be conducted for the period of appointment containing scope, costs (incl. travel and subsistence - as determined by SARS) and timelines for each audit.

3.3.6 Report in writing, the outcomes of the individual audits performed as well as providing an annual written

statement on the effectiveness of governance, risk management and controls processes of the FAIS Ombud.

3.3.7 Report quarterly to the Audit Committee detailing its performance against the annual internal audit plan.

3.3.8 Attend quarterly Audit Committee meetings and Risk Management Committee meetings.

3.3.9 Perform other ad-hoc assignments that may be required.

3.4 The audits required by the Office of FAIS Ombud may include conducting special assignments and investigations, on behalf of the Audit Committee or the Ombud, into any matter or activity affecting the operating efficiency and probity of the Office of the FAIS Ombud.

#### 3.5 Fraud and Irregularities

In planning and conducting its work, the internal auditor should seek to identify serious defects in internal controls, which might result in possible malpractices. Any such defects must be reported immediately to the Ombud and/or Audit Committee without disclosing these to any other staff. This also applies to instances where serious fraud and irregularities have been uncovered.

### 4. PRICING

4.1 Price(s) quoted shall be valid for a period of 60 days from the closing date.

4.2 Price(s) quoted must be comprehensive, the bidder should take into consideration all the cost factors and provide composite pricing and it must be in South African Rand.

4.3 Prices must be quoted on an hourly rate basis (inclusive of VAT) and must reflect rates individually as follows:

No	Description	Hourly rates inclusive of VAT
	Director/ Partner	
	Senior Manager	
	Manager	
	Internal Audit Supervisor	
	Internal Audit Senior	
	Trainee Auditor	

4.4 Price (s) quoted must be firm and must be inclusive of Value Added Tax (VAT) where applicable.

4.5 Payment will be processed within 30 days of submission of a valid invoice and acceptance of services rendered by the Project Manager.

4.6 The FAIS Ombud reserves the right to negotiate the price with the appointed service provider.

### 5. PROTECTION OF PERSONAL INFORMATION ACT (POPIA)

5.1 POPIA" shall mean the Protection of Personal Information Act (Act Number 4 of 2013), as amended from time to time.

5.2 All information collected and submitted by bidders will be used by the FAIS Ombud for the evaluation and adjudication of this bid to determine the bidders' suitability and compliance to deliver the goods/services required. By submitting this bid the bidder gives consent for the FAIS Ombud to process the personal information provided by the bidder accordingly.

5.3 Personal Information" (PI) shall mean the race, gender, sex, pregnancy, marital status, national or ethnic origin, colour, sexual orientation, age, physical or mental health, disability, religion, conscience, belief, culture, language

and birth of a person; information relating to the education or the medical, financial, criminal or employment history of the person; any identifying number, symbol, email address, physical address, telephone number, location information, online identifier or other particular assignments to the person; the biometric information of the person; the personal opinions, views or preferences of the person; correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence; the views or opinions of another individual about the person whether the information is recorded electronically or otherwise.

- 5.4 The parties acknowledge that for the purposes of this bid and agreement, the parties may come into contact with or have access to PI and other information that may be classified or deemed as private or confidential and for which the other party is responsible. Such PI may also be deemed or considered as private and confidential as it relates to any third party who may be directly or indirectly associated with this agreement. Further, it is acknowledged and agreed by the parties that they have the necessary consent to share or disclose the PI and that the information may have value
- 5.5 The parties agree that they will always comply with POPIA's Regulations and Codes of Conduct and that it shall only collect, use and process the PI it comes into contact with pursuant to this agreement in a lawful manner, and only to the extent required to execute the services, or to provide the goods and to perform their respective obligations in terms of this agreement.
- 5.6 The parties agree that it shall put in place, and at all times maintain, appropriate physical, technological, and contractual security measures to ensure the protection and confidentiality of PI that it, or its employees, its contractors, or other authorized individuals comes into contact with pursuant to this agreement.
- 5.7 Notify each other immediately where it has reasonable grounds to believe that the Personal Information in respect of this agreement, which has been provided to it including any Personal Information which it has processed, has been lost, destroyed, or accessed or acquired by any unauthorized person.
- 5.8 Unless so required by law, the parties agree that it shall not disclose any PI as defined in POPIA to any third party without the prior written consent of the other party, and notwithstanding anything to the contrary contained herein, shall any party in no manner whatsoever transfer any PI out of the Republic of South Africa.

**TERMS AND CONDITIONS:**

- a) All goods or services purchased will be subject to FAIS OMBUD conditions, policies and procedures.
- b) It is the responsibility of the bidder to ensure that the tax status on National Treasury Supplier database is always compliant. The FAIS Ombud will not be doing business with bidders who have a non-compliant tax status.
- c) All purchases will be made through an official order form; therefore, no goods or services must be delivered or rendered before an official order has been received.
- d) Payments are effective within 30 days after receipt of the invoice.
- e) Successful bidder must be able to deliver the specified goods/services in full. None delivery will result in the cancellation of the purchase order.
- f) The appointed bidder is required to sign the SBD document truthfully.
- g) When a bidder responds to this request, accept FAIS Ombud's condition and confirm that should he/she is successful, will be able to offer and deliver quality service/goods.
- h) **Evaluation of quotation received will be based on 80/20 Preference point**

<u><b>NAME AND SURNAME OF BIDDER</b></u>	<u><b>SIGNATURE OF BIDDER</b></u>

## BIDDER'S DISCLOSURE

### 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 interest<sup>1</sup> in the enterprise, employed by the state? **YES/NO**

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

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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.

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 consortium<sup>2</sup> 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.
- 3.4 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.
- 3.5 There have been no consultations, communications, agreements or arrangements made by the bidder with any official of the procuring

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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.

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.

- 3.6 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 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



**PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL  
PROCUREMENT REGULATIONS 2022**

This preference form must form part of all tenders invited. It contains general information and serves as a claim form for preference points for specific goals.

**NB: BEFORE COMPLETING THIS FORM, TENDERERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF THE TENDER AND PREFERENTIAL PROCUREMENT REGULATIONS, 2022**

**1. GENERAL CONDITIONS**

1.1 The following preference point systems are applicable to invitations to tender:

- the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included); and
- the 90/10 system for requirements with a Rand value above R50 000 000 (all applicable taxes included).

**1.2 To be completed by the organ of state**

a) The applicable preference point system for this tender is the 80/20 preference point system.

1.3 Points for this tender (even in the case of a tender for income-generating contracts) shall be awarded for:

- (a) Price; and
- (b) Specific Goals.

**1.4 To be completed by the organ of state:**

The maximum points for this tender are allocated as follows:

	POINTS
<b>PRICE</b>	80
<b>SPECIFIC GOALS</b>	20
<b>Total points for Price and SPECIFIC GOALS</b>	<b>100</b>

1.5 Failure on the part of a tenderer to submit proof or documentation required in terms of this tender to claim points for specific goals with the tender, will be interpreted to

mean that preference points for specific goals are not claimed.

- 1.6 The organ of state reserves the right to require of a tenderer, either before a tender is adjudicated or at any time subsequently, to substantiate any claim in regard to preferences, in any manner required by the organ of state.

## 2. DEFINITIONS

- (a) “**tender**” means a written offer in the form determined by an organ of state in response to an invitation to provide goods or services through price quotations, competitive tendering process or any other method envisaged in legislation;
- (b) “**price**” means an amount of money tendered for goods or services, and includes all applicable taxes less all unconditional discounts;
- (c) “**rand value**” means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;
- (d) “**tender for income-generating contracts**” means a written offer in the form determined by an organ of state in response to an invitation for the origination of income-generating contracts through any method envisaged in legislation that will result in a legal agreement between the organ of state and a third party that produces revenue for the organ of state, and includes, but is not limited to, leasing and disposal of assets and concession contracts, excluding direct sales and disposal of assets through public auctions; and
- (e) “**the Act**” means the Preferential Procurement Policy Framework Act, 2000 (Act No. 5 of 2000).

## 3. FORMULAE FOR PROCUREMENT OF GOODS AND SERVICES

### 3.1. POINTS AWARDED FOR PRICE

#### 3.1.1 THE 80/20 PREFERENCE POINT SYSTEMS

A maximum of 80 points is allocated for price on the following basis:

**80/20**

$$Ps = 80 \left( 1 - \frac{Pt - Pmin}{Pmin} \right)$$

Where

Ps = Points scored for price of tender under consideration

Pt = Price of tender under consideration

Pmin = Price of lowest acceptable tender

## 4. POINTS AWARDED FOR SPECIFIC GOALS

- 4.1. In terms of Regulation 4(2); 5(2); 6(2) and 7(2) of the Preferential Procurement Regulations, preference points must be awarded for specific goals stated in the tender. For the purposes of this tender the tenderer will be allocated points based on the goals stated in table 1 below as may be supported by proof/ documentation stated in the conditions of this tender:
- 4.2. In cases where organs of state intend to use Regulation 3(2) of the Regulations, which states that, if it is unclear whether the 80/20 or 90/10 preference point system applies,

an organ of state must, in the tender documents, stipulate in the case of—

- (a) an invitation for tender for income-generating contracts, that either the 80/20 or 90/10 preference point system will apply and that the highest acceptable tender will be used to determine the applicable preference point system; or
- (b) any other invitation for tender, that either the 80/20 or 90/10 preference point system will apply and that the lowest acceptable tender will be used to determine the applicable preference point system,

then the organ of state must indicate the points allocated for specific goals for both the 90/10 and 80/20 preference point system.

**Table 1: Specific goals for the tender and points claimed are indicated per the table below.**

*(Note to organs of state: Where 80/20 preference point system is applicable, corresponding points must also be indicated as such.*

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

The specific goals allocated points in terms of this tender	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)
<b>≥ 51% black owned</b>	10	
<b>≥ 31 % black women owned</b>	6	
<b>QSE or EME</b>	4	
<b>Total</b>	<b>20</b>	

**DECLARATION WITH REGARD TO COMPANY/FIRM**

4.3. Name of company/firm.....

4.4. Company registration number:.....

4.5. TYPE OF COMPANY/ FIRM

- Partnership/Joint Venture / Consortium
- One-person business/sole propriety
- Close corporation
- Public Company
- Personal Liability Company
- (Pty) Limited
- Non-Profit Company
- State Owned Company

[TICK APPLICABLE BOX]

4.6. I, the undersigned, who is duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the specific goals as advised in the tender, qualifies the company/ firm for the preference(s) shown and I acknowledge that:

- i) The information furnished is true and correct;
- ii) The preference points claimed are in accordance with the General Conditions as indicated in paragraph 1 of this form;
- iii) In the event of a contract being awarded as a result of points claimed as shown in paragraphs 1.4 and 4.2, the contractor may be required to furnish documentary proof to the satisfaction of the organ of state that the claims are correct;
- iv) If the specific goals have been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the organ of state may, in addition to any other remedy it may have –
  - (a) disqualify the person from the tendering process;
  - (b) recover costs, losses or damages it has incurred or suffered as a result of that person's conduct;
  - (c) cancel the contract and claim any damages which it has suffered as a result of having to make less favourable arrangements due to such cancellation;
  - (d) recommend that the tenderer or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted from obtaining business from any organ of state for a period not exceeding 10 years, after the *audi alteram partem* (hear the other side) rule has been applied; and
  - (e) forward the matter for criminal prosecution, if deemed necessary.

	..... <b>SIGNATURE(S) OF TENDERER(S)</b>
<b>SURNAME AND NAME:</b>	.....
<b>DATE:</b>	.....
<b>ADDRESS:</b>	..... ..... ..... .....