

SBD1

PART A INVITATION TO BID

YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE (NAME OF DEPARTMENT/ PUBLIC ENTITY)					
BID NUMBER:	NLC/2022-010	CLOSING DATE: 11 July 2022		CLOSING TIME:	11:00
DESCRIPTION	THE APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THIRTY-SIX (36) MONTHS				
BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT (STREET ADDRESS) USB ONLY					
333 GROSVENOR STREET, BLOCK D HATFIELD GARDENS					
BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO			TECHNICAL ENQUIRIES MAY BE DIRECTED TO:		
CONTACT PERSON	Penelope Soyingwa		CONTACT PERSON		
TELEPHONE NUMBER	012 432 1300		TELEPHONE NUMBER		
FACSIMILE NUMBER			FACSIMILE NUMBER		
E-MAIL ADDRESS	penelope@nlcsa.org.za		E-MAIL ADDRESS		
SUPPLIER INFORMATION					
NAME OF BIDDER					
POSTAL ADDRESS					
STREET ADDRESS					
TELEPHONE NUMBER	CODE		NUMBER		
CELLPHONE NUMBER					
FACSIMILE NUMBER	CODE		NUMBER		
E-MAIL ADDRESS					
VAT REGISTRATION NUMBER					
SUPPLIER COMPLIANCE STATUS	TAX COMPLIANCE SYSTEM PIN:		OR	CENTRAL SUPPLIER DATABASE No:	MAAA
B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE	TICK APPLICABLE BOX] <input type="checkbox"/> Yes <input type="checkbox"/> No		B-BBEE STATUS LEVEL SWORN AFFIDAVIT		[TICK APPLICABLE BOX] <input type="checkbox"/> Yes <input type="checkbox"/> No
[A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES & QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]					



ARE YOU THE ACCREDITED REPRESENTATIVE IN SOUTH AFRICA FOR THE GOODS /SERVICES /WORKS OFFERED?	<input type="checkbox"/> Yes <input type="checkbox"/> No [IF YES ENCLOSE PROOF]	ARE YOU A FOREIGN BASED SUPPLIER FOR THE GOODS /SERVICES /WORKS OFFERED?	<input type="checkbox"/> Yes <input type="checkbox"/> No [IF YES, ANSWER PART B:3]
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QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS

IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE A BRANCH IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE A PERMANENT ESTABLISHMENT IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE ANY SOURCE OF INCOME IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
IS THE ENTITY LIABLE IN THE RSA FOR ANY FORM OF TAXATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO
IF THE ANSWER IS "NO" TO ALL OF THE ABOVE, THEN IT IS NOT A REQUIREMENT TO REGISTER FOR A TAX COMPLIANCE STATUS SYSTEM PIN CODE FROM THE SOUTH AFRICAN REVENUE SERVICE (SARS) AND IF NOT REGISTER AS PER 2.3 BELOW.	

PART B TERMS AND CONDITIONS FOR BIDDING

1. BID SUBMISSION:
1.1. BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.
1.2. ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED– (NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.
1.3. THIS BID IS SUBJECT TO THE PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, 2000 AND THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017, THE GENERAL CONDITIONS OF CONTRACT (GCC) AND, IF APPLICABLE, ANY OTHER SPECIAL CONDITIONS OF CONTRACT.
1.4. THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD7).
2. TAX COMPLIANCE REQUIREMENTS
2.1 BIDDERS MUST ENSURE COMPLIANCE WITH THEIR TAX OBLIGATIONS.
2.2 BIDDERS ARE REQUIRED TO SUBMIT THEIR UNIQUE PERSONAL IDENTIFICATION NUMBER (PIN) ISSUED BY SARS TO ENABLE THE ORGAN OF STATE TO VERIFY THE TAXPAYER'S PROFILE AND TAX STATUS.
2.3 APPLICATION FOR TAX COMPLIANCE STATUS (TCS) PIN MAY BE MADE VIA E-FILING THROUGH THE SARS WEBSITE WWW.SARS.GOV.ZA .
2.4 BIDDERS MAY ALSO SUBMIT A PRINTED TCS CERTIFICATE TOGETHER WITH THE BID.
2.5 IN BIDS WHERE CONSORTIA / JOINT VENTURES / SUB-CONTRACTORS ARE INVOLVED; EACH PARTY MUST SUBMIT A SEPARATE TCS CERTIFICATE / PIN / CSD NUMBER.
2.6 WHERE NO TCS IS AVAILABLE BUT THE BIDDER IS REGISTERED ON THE CENTRAL SUPPLIER DATABASE (CSD), A CSD NUMBER MUST BE PROVIDED.



2.7 NO BIDS WILL BE CONSIDERED FROM PERSONS IN THE SERVICE OF THE STATE, COMPANIES WITH DIRECTORS WHO ARE PERSONS IN THE SERVICE OF THE STATE, OR CLOSE CORPORATIONS WITH MEMBERS PERSONS IN THE SERVICE OF THE STATE.”

NB: FAILURE TO PROVIDE / OR COMPLY WITH ANY OF THE ABOVE PARTICULARS MAY RENDER THE BID INVALID.

SIGNATURE OF BIDDER:

.....

CAPACITY UNDER WHICH THIS BID IS SIGNED:

.....

(Proof of authority must be submitted e.g. company resolution)

DATE:

.....





Tel: +27(12)432 1300
Info Centre: 086 00 65383
web: www.nlc.org.za
National Lotteries Commission (NLC)
P.O Box 1556
Brooklyn Square 0083, Pretoria

NATIONAL LOTTERIES COMMISSION

RFP FOR THE APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION FOR THE PERIOD OF THREE (3) YEARS

BID PROCESS	BID REQUIREMENTS
Tender number	NLC/2022 - 10
Bid Advertisement Date	11 July 2022
Closing date and time	11 August 2022 at 11:00 (South African Standard Time)
Tender validity period	120 business working days <i>from the closing date</i>
Compulsory Briefing meeting	N/A
Tenders are to be delivered to the following address on the stipulated closing date and time:	<p>The original bid document must be submitted ONLY via USB and hard / delivered to:</p> <p>The Senior Supply Chain Manager National Lotteries Commission, 33 Grosvenor Street Block D, Hatfield Gardens Hatfield, Pretoria 0083</p> <p>Enquires ONLY can be emailed to: bids@nlcsa.org.za</p> <p>Only USB submissions will be accepted, and NO hardcopies will be accepted</p>

Contents

Section No	Page
SECTION 1: BACKGROUND, OVERVIEW AND RFP SCOPE OF REQUIREMENTS	3
1. INTRODUCTION	3
2. BACKGROUND	3
3. RFP SCOPE OF REQUIREMENTS	4
4. REPORTING REQUIREMENTS	5
5. DURATION OF THE PROJECT	6
SECTION 2: NOTICE TO BIDDERS	6
1. TERMS AND CONDITIONS OF REQUEST FOR PROPOSALS (RFP)	6
2. GENERAL RULES AND INSTRUCTIONS	6
3. FORMAL BRIEFING SESSION	9
4. VALIDITY PERIOD	9
5. NATIONAL TREASURY'S CENTRAL SUPPLIER DATABASE	9
6. CONFIDENTIALITY	9
7. COMMUNICATION	9
SECTION 3: EVALUATION CRITERIA	10
SECTION 4: INVITATION TO BID (SBD 1)	16
SECTION 5: PRICING SCHEDULE – FIRM PRICES (SBD 3.1)	18
SECTION 6: DECLARATION OF INTEREST (SBD 4)	19
SECTION 7: PREFERENCE POINTS CLAIM FORM (SBD 6.1)	22
SECTION 8: DECLARATION OF BIDDER'S PAST SUPPLY CHAIN MANAGEMENT PRACTICES (SBD 8)	27
SECTION 9: CERTIFICATE OF INDEPENDENT BID DETERMINATION (SBD 9)	29

RFP FOR THE APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE (3) YEARS

SECTION 1: BACKGROUND, OVERVIEW AND RFP SCOPE OF REQUIREMENTS

1. Introduction

The National Lotteries Commission was established in terms of the Lotteries Act No. 57 of 1997, as amended (Lotteries Act) to regulate the National Lottery as well as other lotteries and societies.

The NLC aims to ensure that funds raised through the National Lottery are distributed equitably and expeditiously across South Africa in order to advance social upliftment of communities in need with the aim of addressing poverty and reducing inequalities in line with the National Development Plan.

The Commission is required to apply principles of openness and transparency in the exercise of its functions assigned to it in terms of the Lotteries Act No 57 of 1997.

2. Background

PFMA S(51)(1)(a) requires that “An accounting authority for a public entity must ensure that that public entity has and maintains effective, efficient and transparent systems of financial and risk management and internal control. The ERM function continuously conducts risk assessments and workshops within the NLC to proactively identify and assess risks that may impact on the achievement of organisational objectives. In line with the above PFMA requirements, the NLC seeks to appoint a panel of duly qualified ERM service providers for a period of three (3) years.

3. RFP Scope of Requirements and deliverables

NLC seeks to appoint a panel of service providers to provide the following risk management services. Appointed service providers will be utilized as and when required during the contract duration for the execution of a particular service.

- Risk Maturity assessment
- Review of ERM policies and frameworks
- Enterprise wide risk assessments: Strategic risk assessments with the Board and Management for National Lotteries Commission (NLC) and National Lotteries Participants Trust (NLPT), Fraud risk assessment, Legal and Information (POPI) risk assessment and Project risk assessment.
- Tailored risk management training for risk champions, Board, Management and all staff

4. Deliverables

The successful bidder is expected to complete and submit the following deliverables within the approved timelines:

Scope	Deliverable
<ul style="list-style-type: none"> Conduct a Risk Maturity Assessment for the NLC. 	<ul style="list-style-type: none"> Risk maturity assessment report with findings, improvement areas and recommendations. Review the effectiveness of the risk management, including the combined assurance program and provide recommendations. Provide a 3-to-5-year risk maturity improvement plan.
<ul style="list-style-type: none"> Review of ERM Policies and frameworks to align to best practices e.g. ISO 31000, COSO ERM Framework, IRMSA guidelines 2022. 	<ul style="list-style-type: none"> Risk management policy and framework benchmarking gap analysis report with recommendations. Reviewed ERM policy. Incident management policy. ERM framework. Risk appetite framework with recommended key risk indicators. Reputational risk framework.
<ul style="list-style-type: none"> Enterprise-wide Risk Assessment. 	<ul style="list-style-type: none"> Strategic risk and opportunity assessment for the National Lotteries Commission (NLC) and National Lotteries Participants Trust (NLPT). Provide strategic risk report and profile of the NLC and NLPT Fraud risk assessment. Provide fraud risk report and profile of the NLC and NLPT. Recommend fraud prevention strategy for approval. Legal and Information risk assessment report and risk profile. Project risk assessment – as and when required.
<ul style="list-style-type: none"> Risk Management training and awareness workshops. 	<ul style="list-style-type: none"> Customized risk training and awareness workshops and material/participant pack.

5. Reporting Requirements

The successful bidder will report to the Chief Risk Officer.

6. Duration of the Project

The expected duration of the project is three (3) years after the signing of a Service Level Agreement (SLA).

RFP FOR THE APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION

SECTION 2: NOTICE TO BIDDERS

1. Terms and conditions of Request for Proposals (RFP)

1.1 This document may contain confidential information that is the property of the NLC.

- 1.2 No part of the contents may be used, copied, disclosed, or conveyed in whole or in part to any party in any manner whatsoever other than for preparing a proposal in response to this RFP without prior written permission from the NLC.
- 1.3 All copyright and intellectual property herein vests with the NLC.
- 1.4 Late and incomplete submissions will not be accepted.
- 1.5 No services must be rendered, or goods delivered before an official NLC Purchase Order form has been received.
- 1.6 This RFP will be evaluated in terms of the 80/20 preference point system
- 1.7 Suppliers are required to register on the Central Supplier Database at www.csd.gov.za.
- 1.8 Suppliers must provide their CSD registration number (and attach a CSD Registration report) and ensure that their tax matters are compliant.
- 1.9 All questions regarding this RFP must be forwarded to bids@nlcsa.org.za.
- 1.10 Any supplier who has reasons to believe that the RFP specification is based on a specific brand must inform the NLC via the email addressed in 1.9.

2. General rules and instructions

- 2.1 News and press releases
 - 2.1.1 Bidders or their agents shall not make any news releases concerning this RFP or the awarding of the same or any resulting agreement(s) without the consent of, and then only in co-ordination with, the NLC.
- 2.2 Precedence of documents
 - 2.2.1 This RFP consists of a number of sections. Where there is a contradiction in terms between the clauses, phrases, words, stipulations or terms and herein referred to generally as stipulations in this RFP and the stipulations in any other document attached hereto, or the RFP submitted hereto, the relevant stipulations in this RFP shall take precedence.
 - 2.2.2 Where this RFP is silent on any matter, the relevant stipulations addressing such matter, and which appear in section 217 of the constitution of the republic shall take precedence. Bidders shall refrain from incorporating any additional stipulations in its proposal submitted in terms hereof other than in the form of a clearly marked recommendation that the NLC may in its sole discretion elect to import or to ignore. Any such inclusion shall not be used for any purpose of interpretation unless it has been so imported or acknowledged by the NLC.
 - 2.2.3 It remains the exclusive domain and election of the NLC as to which of these stipulations are applicable and to what extent. Bidders are hereby acknowledging that the decision of the

commission in this regard is final and binding. The onus to enquire and obtain clarity in this regard rests with the Bidder(s). The Bidder(s) shall take care to restrict its enquiries in this regard to the most reasonable interpretations required to ensure the necessary consensus.

2.3 Preferential procurement reform

2.3.1 The commission supports B-BBEE as an essential ingredient of its business. In accordance with government policy, the NLC insists that the private sector demonstrates its commitment and track record to B-BBEE in the areas of ownership (shareholding), skills transfer, employment equity and procurement practices (SMME Development) etc.

2.4 National Industrial Participation Programme

2.4.1 The Industrial Participation policy, which was endorsed by Cabinet on 30 April 1997, is applicable to contracts that have an imported content. The NIP is obligatory and therefore must be complied with. Bidders are required to sign and submit the Standard Bidding Document (SBD).

2.5 Language

2.5.1 Bids shall be submitted in English.

2.6 Gender

2.6.1 Any word implying any gender shall be interpreted to imply all other genders.

2.7 Headings

2.7.1 Headings are incorporated into this RFP document and submitted in response thereto, for ease of reference only and shall not form part thereof for any purpose of interpretation or for any other purpose.

2.8 Occupational Injuries and Diseases Act 13 of 1993

2.8.1 The Bidder warrants that all its employees (including the employees of any sub-contractor that may be appointed) are covered in terms of the Compensation for Occupational Injuries and Diseases Act 13 of 1993 and that the cover shall remain in force for the duration of the adjudication of this RFP and/ or subsequent agreement. the commission reserves the right to request the Bidder to submit documentary proof of the Bidder's registration and "good standing" with the Compensation Fund, or similar proof acceptable to the commission.

2.9 Processing of the Bidder's Personal Information

2.9.1 All Personal Information of the Bidder, its employees, representatives, associates and sub-contractors ("Bidder Personal Information") required under this RFP is collected and processed for the purpose of assessing the content of its tender proposal and awarding the bid. The Bidder is advised that Bidder Personal Information may be passed on to third parties to whom the commission is compelled by law to provide such information. For example, where appropriate, the commission is compelled to submit information to National Treasury's Database of Restricted Suppliers.

2.9.2 All Personal Information collected will be processed in accordance with POPIA and with the commission Data Privacy Policy.

2.9.3 The following persons will have access to the Personal Information collected:

2.9.3.1 The commission personnel participating in procurement/award procedures; and

2.9.3.2 Members of the public: within seven working days from the time the bid is awarded, the following information will have to be made available on National Treasury's e-Tender portal:

2.9.3.2.1 contract description and bid number;

2.9.3.2.2 names of the successful bidder(s) and preference points claimed;

2.9.3.2.3 the contract price(s) (if possible);

2.9.3.2.4 contract period;

2.9.3.2.5 names of directors; and

2.9.3.2.6 date of completion/award.

2.9.4 The commission will ensure that the rights of the Bidder and of its employees and representatives (i.e. the right of access and the right to rectify) are effectively guaranteed in accordance with the procedures as specified in the commission PAIA manual.

2.9.5 In signing this document, the Bidder consents to the use of its Personal Information for the purposes as specified in section 2.9.1 above.

3. Formal Briefing Session

3.1 There will be no briefing session.

4. Validity Period

4.1 The Commission requires a validity period of 120 [one hundred and twenty] Business Days [from closingdate] against this RFP.

4.2 Bidders are to note that they may be requested to extend the validity period of their bids, on the same terms and conditions, if the internal evaluation process are not finalised within the validity period.

5. National Treasury's Central Supplier Database

- 5.1 Bidders are required to self-register on National Treasury's Central Supplier Database (CSD) which has been established to centrally administer supplier information for all organs of state and facilitate the verification of certain key supplier information.
- 5.2 The Commission may not award business to a bidder who has failed to register on the CSD.
- 5.3 Only foreign suppliers with no local registered entity need not register on the CSD.
- 5.4 The CSD can be accessed at <https://secure.csd.gov.za/>

6. Confidentiality

- 6.1 Bids submitted for this Request for Proposals will not be revealed to any other bidders and will be treated as contractually binding;
- 6.2 The Commission reserves all the rights afforded to it by the POPIA in the processing of any of its information as contained in Bid Proposals.
- 6.3 The Bidder acknowledges that it will obtain and have access to personal information of The NLC and agrees that it shall only process the information disclosed by the NLC in terms of this bid award and only for the purposes as detailed in this RFP and in accordance with any applicable law.
- 6.4 The Bidder shall notify the NLC in writing of any unauthorised access to personal information and the information of a third party, through cybercrimes or suspected cybercrimes, in its knowledge and report such crimes or suspected crimes to the relevant authorities in accordance with applicable laws, after becoming aware of such

7. Communication

- 7.1 Specific queries relating to this RFP should be submitted bids@nlcsa.org.za, before the closing date.
- 7.2 In the interest of fairness and transparency the NLC's response to such a query may be made available to other bidders.
- 7.3 It is prohibited for bidders to attempt, either directly or indirectly, to canvass any officer or employee of the NLC in respect of this RFP between the closing date and the date of the award of the business.
- 7.4 Bidders found to be in collusion with one another will be automatically disqualified and restricted from doing business with organs of state for a specified period.

RFP FOR THE APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION

Section 3: EVALUATION CRITERIA

The six (6) phase evaluation criteria will be considered in evaluating the proposals, being



Stage 1 : Tender Closing and Opening

1.1 Tender closing details

The deadline for Tender submission is at 11:00am Standard South African Time. Any late tenders will not be accepted. Tenders are to be submitted to the NLC's tender box at the following physical address:

National Lotteries Commission
333 Grosvenor Street
Block D, Hatfield Gardens
Hatfield, Pretoria
0083

1.2 Bid Formats

Bid submissions must be submitted in a PDF format that is protected from any modifications, deletions, or additions.

Financial/pricing information must be presented in a separate attachment from the Technical/Functional Response information. The onus is on the Bidder to ensure that all mandatory and required documents are included in the electronic submission.

Submissions must be prominently marked with the full details of the tender namely Bidder's Name, Tender No and Tender Title.

Tender submissions received after submission date and time will be declared late and will not be accepted for consideration by the NLC.

The NLC will not be responsible for any failure or delay in the submission or receipt of the bid including but not limited to:

- Traffic.
- Struggling to find parking.
- Courier arriving late.

Stage 2: Administrative Compliance

All bid respondents must submit mandatory documents that comply with all mandatory requirements. Bids that do not fully comply with the mandatory requirements will be disqualified and will not be considered for further evaluation. The Administrative Compliance Evaluation will include the following:

Evaluation Criteria	Supporting Document
<ul style="list-style-type: none">• Whether all Returnable Documents and/or schedules [where applicable] were completed and returned by the closing date and time	Bid Proposal
<ul style="list-style-type: none">• Whether the Bid document has been duly signed by the authorised bidder official	Company resolution as proof of authorised individuals' delegation
<ul style="list-style-type: none">• Whether the Bid contains a priced offer	Pricing schedule
<ul style="list-style-type: none">• Whether the Bidder tax affairs in order	Tax Compliance System Pin
<ul style="list-style-type: none">• Whether Bidders have failed to register on the CSD. Only foreign suppliers with no local registered entity need not register on the CSD	Proof of Central Supplier Database (CSD) registration

Stage 3: Mandatory Compliance

All bid respondents must submit mandatory documents that comply with all mandatory requirements. Bids that do not fully comply with the mandatory requirements will be disqualified and will not be considered for further evaluation. The Administrative Compliance Evaluation will include the following:

Evaluation	Supporting Document
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Criteria	
1. In the event of the bidder being in a joint venture (JV), a signed JV agreement must be submitted (where applicable)	JV Agreement
2. Proof of registration by the bidder (company with professional bodies – IRMSA/IIA/SAQA, . In the event of the bidder being a joint venture (JV), one of the companies in the JV must fully comply with this mandatory requirement.	Please attach a membership certified/ letter of good standing with the professional body for the bidder.

Stage 3: Technical evaluation

The evaluation for the Technical and Functional threshold will include the following:

Category	Criteria Description	Weightings(%)	Scoring matrix (1 to 5)
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1. Bidders Experience	1.1 Bidder experience in providing Enterprise Risk Management Services	Weight per service is provided in the table, equivalent to a total of 15%	Bidders' experience in providing Enterprise Risk Management Services		
			Service required	Sub-Weight	Years of experience of the lead consultant
			Conducting risk maturity assessments	3%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1
			Reviewing risk management policy, ERM framework, Risk appetite framework, developing KRIs	3%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1
			Facilitating strategic risk workshops with the Board and EXCO	5%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1
			Facilitating fraud, legal and project risk assessments	2%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1

The bidder must demonstrate that they have the capacity to render the required service by submitting a company profile detailing risk management projects that were successfully completed within the past five (5) years, relevant to the TOR i.e.

- Risk maturity assessment;
- Review of ERM policy and frameworks;
- Risk Assessments (e.g. Strategic risk assessments conducted with Board and EXCO, Fraud Risk assessments – done across the organisation, Legal and information risk assessments, project risks); and
- Tailor made ERM Training & Awareness Workshops to Board, Management, Risk Champions and all staff.

NB: service provider must be able to provide at least three services listed above.

			<table><tr><td>Facilitating Risk Management training and workshops</td><td>2%</td><td><ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1</td></tr></table>	Facilitating Risk Management training and workshops	2%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1
Facilitating Risk Management training and workshops	2%	<ul style="list-style-type: none">Above 5 years = 54 - 5 years = 43 years = 32 years = 21 year = 1				
	<p>1.2 Witten Reference Letters</p> <p>Provide two (2) written reference letters for each of the services. Reference letters must include the company name, contact name, address, phone number, duration of contract, value of the contract, a brief description of the services that you provided. The written reference letter should state services rendered within the past 5 years from the closing date of the bid. The reference letters must be on the client’s letterhead and must be dated and signed.</p>	5%	<p>Bidders are required to submit written contactable reference letters for each service listed below:</p> <ul style="list-style-type: none">Risk maturity assessment;Review of ERM policy and frameworks;Risk Assessments (e.g. Strategic risk assessments conducted with Board and EXCO, Fraud Risk assessments); andTailor made ERM Training & Awareness Workshops to Board, Management, Risk Champions and all staff. <p>Scoring of written reference letters submitted:</p> <ul style="list-style-type: none">One (1) valid & relevant reference letter for any of the 3 services (3 reference letters in total out of the 4 services required) = 1One (1) valid & relevant reference letter for each of the 4 services (4 reference letters in total for all 4 services required) = 2Two (2) valid & relevant reference letters for each of the 4 services (8 reference letters in total for all 4 services) = 5			

Category	Criteria Description	Weightings(%)	Scoring matrix (1 to 5)		
2. Key Personnel, Qualifications and Experience	2.1 Team Leader Qualification Provide comprehensive CVs (not more than 2 pages) of the project team for experience in similar work.	5%	The team leader and/ or project team must indicate a combination of the following qualifications and provide Tertiary Qualifications <ul style="list-style-type: none"> • Post graduate qualification in Risk Management/ Commerce/Business Management/MBA = 5 • Degree in Risk Management/ Commerce/Business Management = 4 • Diploma in Risk Management/ Commerce/Business Management =3 • No relevant tertiary qualification – 0 point 		
	2.2 Team Leaders' Professional Certification Bidders are required to attach copies of relevant qualifications.	5%	<ul style="list-style-type: none"> • Certified Risk Practitioner/ Certified Risk Professional (by IRMSA) = 5 • No professional certification = 0 		
	2.3 Team Leader / Project Team Experience Weight per service is provided in the table, equivalent to a total of 30%	Years of experience and Risk Management knowledge and understanding of relevant ERM frameworks and processes:	Service required	Weight	Years of experience of the Lead Consultant
			Conducting Risk Maturity Assessments	7%	<ul style="list-style-type: none"> • Above 8 years = 5 • 5 - 8 years = 4 • 4 years = 3 • 2 - 3 years = 2 • 1 year = 1

Category	Criteria Description	Weightings(%)	Scoring matrix (1 to 5)			
			Reviewing risk management policy, ERM framework, Risk appetite framework, developing KRIs	5%	<ul style="list-style-type: none"> • Above 8 years = 5 • 5 - 8 years = 4 • 4 years = 3 • 2 - 3 years = 2 • 1 year = 1 	
			Facilitating strategic risk workshops with the Board and EXCO	7%	<ul style="list-style-type: none"> • Above 8 years = 5 • 5 - 8 years = 4 • 4 years = 3 • 2 - 3 years = 2 • 1 year = 1 	
			Facilitating fraud risk assessments	5%	<ul style="list-style-type: none"> • Above 8 years = 5 • 5 - 8 years = 4 • 4 years = 3 • 2 - 3 years = 2 • 1 year = 1 	
			Facilitating Legal Risk Assessment	3%	<ul style="list-style-type: none"> • Above 8 years = 5 • 5 - 8 years = 4 • 4 years = 3 • 2 - 3 years = 2 • 1 year = 1 	

Category	Criteria Description	Weightings(%)	Scoring matrix (1 to 5)			
			Facilitating Risk Management Training and Workshops	3%	<ul style="list-style-type: none">Above 8 years = 55 - 8 years = 44 years = 32 - 3 years = 21 year = 1 point	
2. Methodology and Approach	<p>2.1 Methodology</p> <p>Provide a methodology for the delivery of the scope of work and approach to be taken.</p> <p>Provide detailed methodology for all deliverables listed in the TOR (section 1 no 4):</p> <ul style="list-style-type: none">Conducting risk maturity assessments;Reviewing risk management policies and frameworks;Facilitating strategic risk workshops with the Board and EXCO;Facilitating fraud risk assessments;Facilitating operational risk, project risk; andRisk Management training and workshops	20%	<p>Methodology</p> <ul style="list-style-type: none">Detailed methodology for all deliverables and tools to be used to deliver the project = 5Detailed methodology addressing 3 deliverables tools to be used to deliver the project = 3Detailed methodology for 2 tools to be used to deliver the project = 1Detailed methodology for 1 deliverable & tool to be used to deliver the project OR No information provided = 0			

Category	Criteria Description	Weightings(%)	Scoring matrix (1 to 5)
	3.2 Project plan Project plan must address the deliverables with clear milestones as per the TOR (section 1 no. 4)	20%	Project plan <ul style="list-style-type: none"> Addresses all project scope requirements & clear milestones = 5 Addressed 4 project scope requirements & clear milestones = 4 Addressed 3 project scope requirements & clear milestones = 3 Addressed 2 project scope requirements & clear milestones = 2 Addressed 1 project scope requirements & clear milestones = 1

Total Weighting:

100

**Minimum qualifying score
required:**

75

Stage 4: Pricing and B BBEE comparatives

The evaluation for Pricing and BBEE will include the following

Evaluation Criteria	Final Weighted Scores																				
<p>Price</p> <p>The following formula will be used to calculate the points out of 80 for price in respect of a tender with a Rand value equal to or above R30 000 and up to a Rand value of R50 million, inclusive of all applicable taxes:</p> $P_s = 80 \left(1 - \frac{P_t - P_{min}}{P_{min}} \right)$ <p>Where:</p> <p>P_s = Score for the Bid under consideration</p> <p>P_t = Price of Bid under consideration</p> <p>P_{min} = Price of lowest acceptable Bid</p>	80																				
<p>B-BBEE - Scorecard</p> <p>The following table will be used to calculate the score out of 20 for BBEE level status as evidenced by the certificate or sworn affidavit</p> <table border="1" data-bbox="248 1182 1062 1742"> <thead> <tr> <th>B-BBEE Status Level of Contributor</th><th>Number of Points (80/20 system)</th></tr> </thead> <tbody> <tr><td>1</td><td>20</td></tr> <tr><td>2</td><td>18</td></tr> <tr><td>3</td><td>14</td></tr> <tr><td>4</td><td>12</td></tr> <tr><td>5</td><td>8</td></tr> <tr><td>6</td><td>6</td></tr> <tr><td>7</td><td>4</td></tr> <tr><td>8</td><td>2</td></tr> <tr><td>Non-Compliant Contributor</td><td>0</td></tr> </tbody> </table>	B-BBEE Status Level of Contributor	Number of Points (80/20 system)	1	20	2	18	3	14	4	12	5	8	6	6	7	4	8	2	Non-Compliant Contributor	0	20
B-BBEE Status Level of Contributor	Number of Points (80/20 system)																				
1	20																				
2	18																				
3	14																				
4	12																				
5	8																				
6	6																				
7	4																				
8	2																				
Non-Compliant Contributor	0																				
TOTAL SCORE:	100																				

Stage 5: Due Diligence

Not applicable

Stage 6: Contract and Award

The stage is for negotiation after receipt of formal tenders and before the conclusion of contracts with suppliers/contractors submitting the lowest acceptable tender with a view to obtaining an improvement in price, delivery or content, in circumstances which do not put other tenderers at a disadvantage or affect adversely their confidence or trust in the competitive system. Bidders may be requested to provide their best and final offers based on contract negotiation

ANNEXURE A

PRICING SCHEDULE: APPOINTMENT OF A PANEL OF ENTERPRISE RISK MANAGEMENT SERVICE PROVIDERS FOR THE NATIONAL LOTTERIES COMMISSION

NLC/2022 - 10

Name of bidder.....

Please provide prices (VAT Inclusive) for the appointment of a panel of Enterprise Risk Management Service Providers for the National Lotteries Commission (NLC). For comparative purposes, bidders are required to provide annual rates and rate per person aligned to the Department of Public Service Commission (DPSA) 1 July 2020 Rates (Model A Short-Term, Option A 1 All Overheads, A1.1 Mark Up) For comparative purposes, bidders are requested to quote according to the requirements listed in the table below:

Item	Description	Year 1	Year 2	Year 3
1.	Strategic Risk Assessment			
2.	Fraud risk assessment			
3.	Project/Legal risk assessment			
4.	Risk Management training and workshops (Rate per person)			

ANNEXURE A

5.	Reviewing risk management policies and frameworks			
6.	Conducting risk maturity assessments (Annual total cost)			
TOTAL BID PRICE (VAT INCLUSIVE)				

.....

Name of representative

.....

Signature

.....

Date

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 interest¹ 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 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 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.
- 3.4 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 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.
- 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 TERMS OF PARAGRAPH 6 OF PFMA SCM INSTRUCTION 03 OF 2021/22 ON PREVENTING AND COMBATING ABUSE IN THE SUPPLY CHAIN MANAGEMENT SYSTEM SHOULD



NATIONAL LOTTERIES COMMISSION

a member of **the dtic** group



THIS DECLARATION PROVE TO BE FALSE.

.....
Signature

.....
Date

.....
Position

.....
Name of bidder



SBD4



SBD4



SBD4

SBD 6.1

PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL PROCUREMENT REGULATIONS 2017

This preference form must form part of all bids invited. It contains general information and serves as a claim form for preference points for Broad-Based Black Economic Empowerment (B-BBEE) Status Level of Contribution

NB: BEFORE COMPLETING THIS FORM, BIDDERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF B-BBEE, AS PRESCRIBED IN THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017.

1. GENERAL CONDITIONS

1.1 The following preference point systems are applicable to all bids:

- 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

a) The value of this bid is estimated to not exceed R50 000 000 (all applicable taxes included) and therefore the 80/20 preference point system shall be applicable; or

1.3 Points for this bid shall be awarded for:

- (a) Price; and
- (b) B-BBEE Status Level of Contributor.

1.4 The maximum points for this bid are allocated as follows:

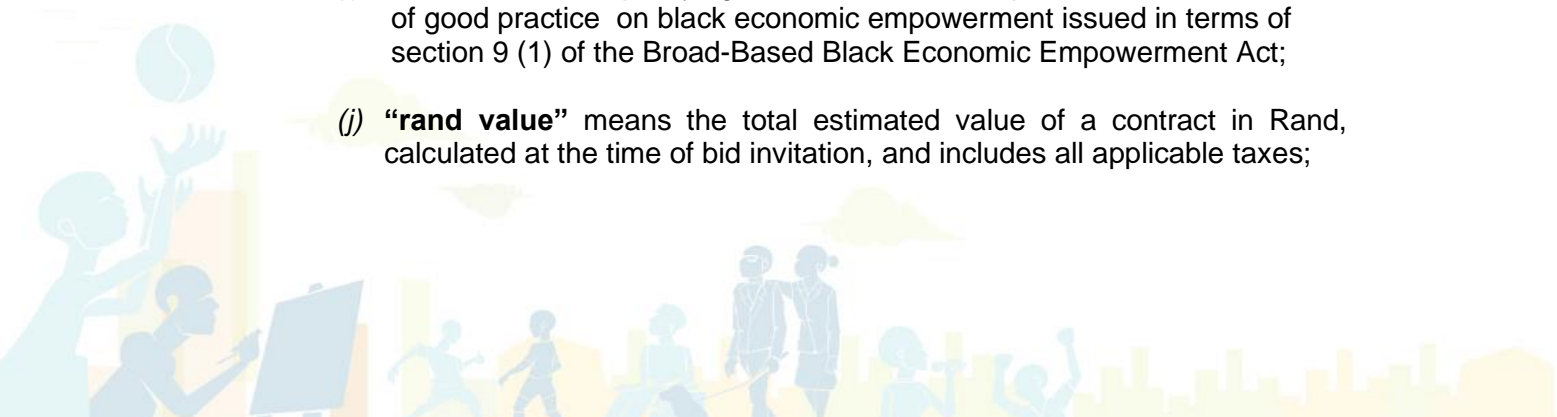
	POINTS
PRICE	
B-BBEE STATUS LEVEL OF CONTRIBUTOR	
Total points for Price and B-BBEE must not exceed	100

1.5 Failure on the part of a bidder to submit proof of B-BBEE Status level of contributor together with the bid, will be interpreted to mean that preference points for B-BBEE status level of contribution are not claimed.

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

2. DEFINITIONS

- (a) **“B-BBEE”** means broad-based black economic empowerment as defined in section 1 of the Broad-Based Black Economic Empowerment Act;
- (b) **“B-BBEE status level of contributor”** means the B-BBEE status of an entity in terms of a code of good practice on black economic empowerment, issued in terms of section 9(1) of the Broad-Based Black Economic Empowerment Act;
- (c) **“bid”** means a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the provision of goods or services, through price quotations, advertised competitive bidding processes or proposals;
- (d) **“Broad-Based Black Economic Empowerment Act”** means the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);
- (e) **“EME”** means an Exempted Micro Enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;
- (f) **“functionality”** means the ability of a tenderer to provide goods or services in accordance with specifications as set out in the tender documents.
- (g) **“prices”** includes all applicable taxes less all unconditional discounts;
- (h) **“proof of B-BBEE status level of contributor”** means:
 - 1) B-
BBEE Status level certificate issued by an authorized body or person;
 - 2) A
sworn affidavit as prescribed by the B-BBEE Codes of Good Practice;
 - 3) Any
other requirement prescribed in terms of the B-BBEE Act;
- (i) **“QSE”** means a qualifying small business enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;
- (j) **“rand value”** means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;



3. POINTS AWARDED FOR PRICE

3.1 THE 80/20 OR 90/10 PREFERENCE POINT SYSTEMS

A maximum of 80 or 90 points is allocated for price on the following basis:

80/20

or

90/10

$$P_s = 80 \left(1 - \frac{P_t - P_{\min}}{P_{\min}} \right) \quad \text{or} \quad P_s = 90 \left(1 - \frac{P_t - P_{\min}}{P_{\min}} \right)$$

Where

P_s = Points scored for price of bid under consideration

P_t = Price of bid under consideration

P_{\min} = Price of lowest acceptable bid

4. POINTS AWARDED FOR B-BBEE STATUS LEVEL OF CONTRIBUTOR

4.1 In terms of Regulation 6 (2) and 7 (2) of the Preferential Procurement Regulations, preference points must be awarded to a bidder for attaining the B-BBEE status level of contribution in accordance with the table below:

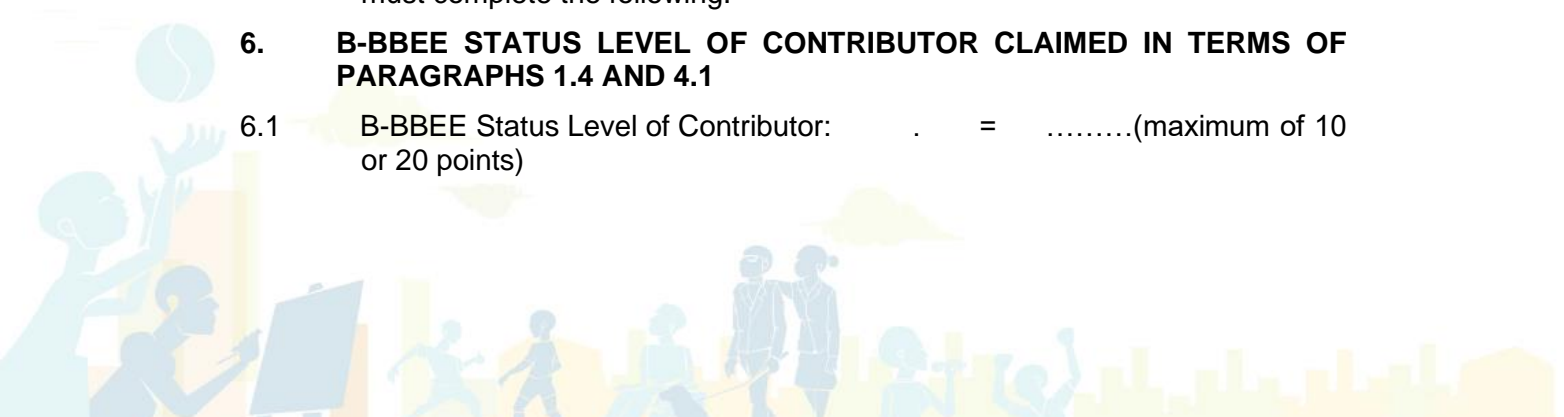
B-BBEE Status Level of Contributor	Number of points (90/10 system)	Number of points (80/20 system)
1	10	20
2	9	18
3	6	14
4	5	12
5	4	8
6	3	6
7	2	4
8	1	2
Non-compliant contributor	0	0

5. BID DECLARATION

5.1 Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete the following:

6. B-BBEE STATUS LEVEL OF CONTRIBUTOR CLAIMED IN TERMS OF PARAGRAPHS 1.4 AND 4.1

6.1 B-BBEE Status Level of Contributor: . =(maximum of 10 or 20 points)



(Points claimed in respect of paragraph 7.1 must be in accordance with the table reflected in paragraph 4.1 and must be substantiated by relevant proof of B-BBEE status level of contributor.

7. SUB-CONTRACTING

7.1 Will any portion of the contract be sub-contracted?

(**Tick applicable box**)

YES		NO	
-----	--	----	--

7.1.1 If yes, indicate:

- i) What percentage of the contract will be subcontracted.....%
- ii) The name of the sub-contractor.....
- iii) The B-BBEE status level of the sub-contractor.....
- iv) Whether the sub-contractor is an EME or QSE

(**Tick applicable box**)

YES		NO	
-----	--	----	--

- v) Specify, by ticking the appropriate box, if subcontracting with an enterprise in terms of Preferential Procurement Regulations, 2017:

Designated Group: An EME or QSE which is at least 51% owned by:	EME √	QSE √
Black people		
Black people who are youth		
Black people who are women		
Black people with disabilities		
Black people living in rural or underdeveloped areas or townships		
Cooperative owned by black people		
Black people who are military veterans		
OR		
Any EME		
Any QSE		

8. DECLARATION WITH REGARD TO COMPANY/FIRM

8.1 Name of company/firm:.....

8.2 VAT registration number:.....



8.3 Company registration number:.....

8.4 TYPE OF COMPANY/ FIRM

- ☐ Partnership/Joint Venture / Consortium
- ☐ One person business/sole propriety
- ☐ Close corporation
- ☐ Company
- ☐ (Pty) Limited

[TICK APPLICABLE BOX]

8.5 DESCRIBE PRINCIPAL BUSINESS ACTIVITIES

.....

.....

.....

.....

.....

8.6 COMPANY CLASSIFICATION

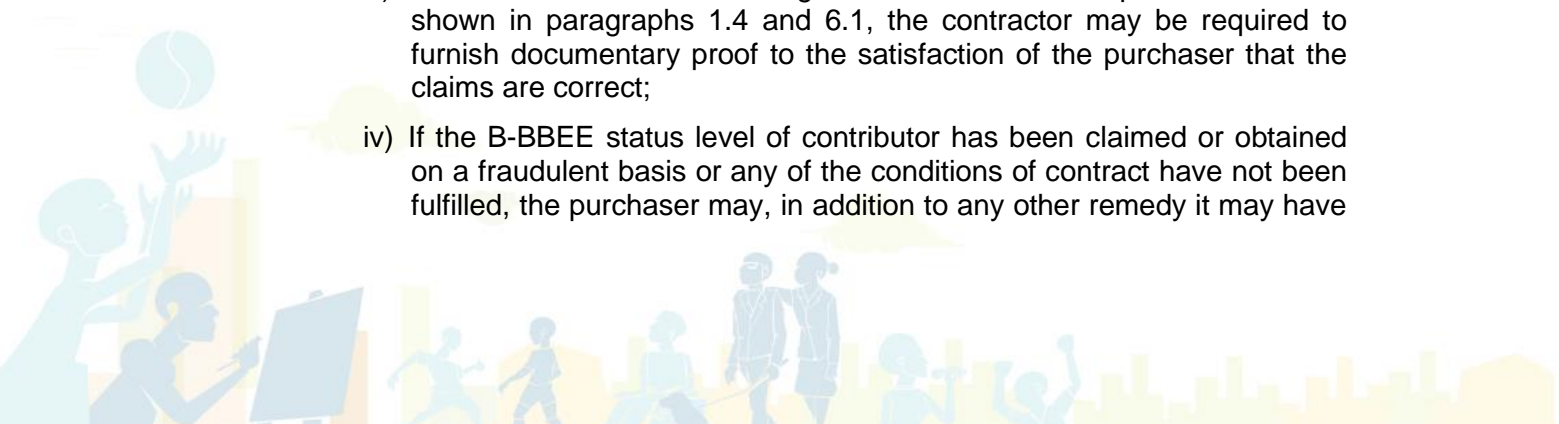
- ☐ Manufacturer
- ☐ Supplier
- ☐ Professional service provider
- ☐ Other service providers, e.g. transporter, etc.

[TICK APPLICABLE BOX]

8.7 Total number of years the company/firm has been in business:.....

8.8 I/we, the undersigned, who is / are duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the B-BBE status level of contributor indicated in paragraphs 1.4 and 6.1 of the foregoing certificate, qualifies the company/ firm for the preference(s) shown and I / we 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 6.1, the contractor may be required to furnish documentary proof to the satisfaction of the purchaser that the claims are correct;
- iv) If the B-BBEE status level of contributor has been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the purchaser may, in addition to any other remedy it may have



-
- (a) disqualify the person from the bidding 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 bidder or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted by the National Treasury 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.

WITNESSES

1.
2.

.....
SIGNATURE(S) OF BIDDERS(S)

DATE:

ADDRESS

.....
.....







SCM: **CONSENT** **REQUEST FORM**

REQUEST FOR THE CONSENT OF A DATA SUBJECT FOR PROCESSING OF PERSONAL INFORMATION FOR THE PURPOSE OF PROCUREMENT OF GOODS AND SERVICES APPLICATION, IN LINE WITH THE NLC's SUPPLY CHAIN MANAGEMENT POLICY, IN TERMS OF SECTION 11(1)(a) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO.4 OF 2013) ("**POPIA**").

TO: _____

FROM: _____

ADDRESS: _____

Contact number: _____

Email address: _____

PART A

1. In terms of the PROTECTION OF PERSONAL INFORMATION ACT, consent for processing of personal information of a data subject (the person/entity to whom personal information relates) must be obtained for the purpose of processing of application for procurement of goods and services, in line with the NLC's supply chain management policy, and storage of your personal data by means of any form of electronic communication, including automatic calling machines, facsimile machines, SMSs or e-mail, which is prohibited unless written consent to the processing is given by the data subject. You may only be approached once for your consent by us (NLC). After you have indicated your wishes in Part B, you are kindly requested to submit this Form either by post, facsimile or e-mail to the address, facsimile number or e-mail address as stated above.
2. "Processing" means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including—
 - 2.1 the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use;
 - 2.2 dissemination by means of transmission, distribution or making available in any other form; or
 - 2.3 merging, linking, as well as restriction, degradation, erasure or destruction of information.
3. "Personal information" means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to—
 - 3.1 information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well- being, disability, religion, conscience, belief, culture, language and birth of the person;
 - 3.2 information relating to the education or the medical, financial, criminal or employment history of the person;

- 3.3 any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person;
- 3.4 the biometric information of the person;
- 3.5 the personal opinions, views or preferences of the person;
- 3.6 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;
- 3.7 the views or opinions of another individual about the person; and
- 3.8 the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.

Full names of the designated person on behalf of the Responsible Party

Signature of Designation person

PART B

I, _____ (full names), duly authorized, hereby:
Consent to the processing of my/our personal information for the application of
procurement of goods and services, in line with the NLC supply chain management
policy, in terms of section 11(1)(a) of POPIA.

SPECIFY GOODS AND SERVICES (Edit/Click on services not required):

- ☐ Product Information
- ☐ Product Updates
- ☐ Industry Newsletters
- ☐ Price Changes

Method of Communication will be via: Email/Postal

☐ Give my consent.

By Ticking the next box, I am aware that I am Digitally Signing this Consent
request Form:

☐

Full Name:

Date:

WITHDRAWAL OF CONSENT ONCE GIVEN

You may withdraw your consent at any time.

Write or email us at the address above, advising us of your consent withdrawal