

## Finance and Procurement Department

### Supply Chain Management

# Request for Bids (RFB)

**APPOINTMENT OF A SERVICE PROVIDER FOR IMPLEMENTATION OF ENTERPRISE RISK AND BUSINESS CONTINUITY MANAGEMENT SERVICES FOR PERIOD OF THREE (03) YEARS.**

### Bid Information

|  |  |
|--|--|
| <b>Bid Number</b>  | <b>sefa: 76/RSK/2022</b>   |
| <b>Bid Submission Date</b>   | <b>15 December 2022 @ 11:00 am</b>   |
| <b>Bid Duration</b>  | Three (03) Years   |
| <b>Bid Validity Period from Date of Publication</b>  | 120 days   |
| <b>Bid Non-Compulsory Briefing Session</b>   | N/A  |
| <b>Address for Non-Compulsory Briefing Session</b>   | Small Enterprise Finance Agency (Head Office)  |
| <b>Bid Contact Person</b>  | Sebotse Mokgabudi on (012) 748-9646<br><a href="mailto:sebotsem@sefa.org.za">sebotsem@sefa.org.za</a> / <a href="mailto:procurement@sefa.org.za">procurement@sefa.org.za</a> |
| <b>Evaluation Method: Points System</b>  | 80/20  |
| <b>Required Bidder B-BBEE Level</b>  | <b>1-8 EME or QSE</b>  |
| <b>Deadline for Responding to Clarifications for this bid</b>  | 06 December 2022   |
| <b>Fraud Hotline</b> <i>to report any wrongful or criminal deception or coercion intended to result in financial or personal gain by any <b>sefa</b> employee or person involved in this bidding process</i> | 0800 000 663<br>(For <b>anonymous</b> reporting)   |

# Special Conditions and Requirement of Contract

## APPOINTMENT OF A SERVICE PROVIDER FOR IMPLEMENTATION OF ENTERPRISE RISK AND BUSINESS CONTINUITY MANAGEMENT SERVICES FOR PERIOD OF THREE (03) YEARS.

### 1. INTRODUCTION AND BACKGROUND

- 1.1. Following a Cabinet decision and the State of the Nation address of 2011, the Small Enterprise Finance Agency (SOC) Limited (**sefa**), was established on 01 April 2012 in terms of section 3 (d) of the Industrial Development Corporation Act, No. 22 of 1940 (IDC Act). **sefa** is a wholly owned subsidiary of the Industrial Development Corporation (IDC) and brings together the activities of the three previous structures (Khula, **samaf** and the IDC small business activities).
- 1.2. **sefa** operates as a Development Finance Institution (DFI) to foster the establishment, development and growth of Small, Micro and Medium Enterprises (SMMEs) and contributes towards poverty alleviation, job creation and economic growth. **sefa** provides products and services to qualifying SMMEs as defined in the National Small Business Act of 1996, as amended in 2004, through a hybrid of wholesale and direct lending channels.
- 1.3. The purpose of this Request for Bid (RFB) is to appoint a Service provider to assist with the implementation of Enterprise Risk Management and Business Continuity Management activities for Small Enterprise Finance Agency SOC Limited.

1.4.

### 2. BID SUBMISSION REQUIREMENTS

- 2.1. Bids must be submitted in a **sealed envelope and marked** as follows:

#### **ATTENTION: sefa SUPPLY CHAIN MANAGEMENT**

Description of the Bid

Bid Number

Name of the Bidder

### 2.2. GENERAL BID REQUIREMENTS

- a. Bid documents **must** be initialled on every page.
- b. Number of sealed envelopes/files must compose of one (1) **ORIGINAL** and one (1) electronic PDF **copy** of the original bid proposal document on a CD or flash drive.
- c. Submissions of the Bid responses **MUST** be made by depositing the Bid proposal into the Tender Box situated at **sefa** Head Office at the physical

address below on or before the closing date as stated on page 1 of this Request for Bid document under Bid Information.

- d. The bidder will bear all expenses associated with the preparation and submission of this Bid.
- e. Tenderers should check the numbers of pages to satisfy themselves that none are missing or duplicated. No liability will be accepted by the **sefa** regarding anything arising from the fact that pages are missing or duplicated.

### 2.3. **sefa PHYSICAL ADDRESS**

11 Byls Bridge Boulevard,  
Doringkloof,  
Centurion,  
0157

For more information, please visit the **sefa** website: [www.sefa.org.za](http://www.sefa.org.za)

### 2.4. **BID RESPONSES**

#### 2.4.1. **Bid Format**

2.4.2. Bidders shall submit their bid response in accordance with the requirements as outlined in the Bid Response Template provided in **Appendix 1**.

2.4.3. Each section must be clearly marked and the documents must be bound.

2.4.4. The RFB comprises a number of sections and the bidder's proposal must include all the required information and documentation as outlined in this RFB.

#### 2.4.5. **GENERAL CONDITIONS OF CONTRACT**

2.4.5.1. Completion of all Standard Bidding Documents (SBD by hand, attached in **Annexures A**, and adhering to all other requirements as outlined on each form. The following SBD and other forms must be duly completed and signed, and returned as part of the Bid Proposal:

- a. **SBD 1:** Invitation to Bid.
- b. **SBD 4:** Declaration of Interest.
- c. **SBD 6.1:** Preference Points Claim Form.
- d. Original and valid **Tax Clearance Certificate(s)** (TCC) or *PIN* issued by SARS.
- e. In bids where Consortium; Joint Ventures and Sub-Contractors are involved, it is required that each party must submit separate proof of Tax Clearance Certificate(s) or *PIN* issued by SARS
- f. Submission of a certified copy of a **valid B-BBEE certificate** issued through a SANAS Accredited Agency, with the exception of Exempted Micro Enterprises

(EMEs) and Qualifying Small Enterprises (QSEs). These enterprises need to submit B-BBEE **sworn affidavits** as per the requirements of the Department of Trade and Industry (DTI) for qualifying enterprises except those who fall under the Construction Sector Charter Council (CSCC). Other sworn affidavits will not be accepted. The DTI and CSCC affidavit templates are available under **Annexure B**.

- g. National Treasury **Central Supplier Database (CSD) registration** (attached proof of registration).
- h. Submission of bidder's **Companies & Intellectual Property Commission (CIPC) registration documents**, listing all Directors or Shareholders and certified copies of the Identify Documents (ID) of Directors or Shareholders.

2.4.5.2. The successful bidder and its staff shall comply with all the laws of the Republic of South Africa and as it relates to this bid.

2.4.5.3. The bidder's staff must be South African citizens and **sefa** reserves the right to validate citizenship.

#### 2.4.6. **PRICE PROPOSAL**

- a. Bidders are required to complete and sign their pricing proposals.
- b. **NB:** Failure to complete and submit a pricing proposal, will lead to disqualification of the bid.

#### 2.5. **LATE BIDS**

Bids submitted at the stated bid address, after the closing date & time, shall not be considered under any circumstances.

#### 2.6. **COUNTER CONDITIONS**

Bidder's attention is drawn to the fact that amendments to any of the bid conditions or setting of counter conditions by the bidder shall render the bid invalid.

#### 2.7. **BID DISTRIBUTION**

- 2.7.1. The distribution of this RFB outside the Republic of South Africa may be restricted or prohibited by the laws of other countries. Recipients of this RFB are advised to familiarise themselves with and comply with all such restrictions or prohibitions applicable in those jurisdictions, and neither **sefa**, nor any of their respective directors, officers, employees, agents, representatives or advisors, accepts liability to any person or company for any damages arising out of or in connection with the breach of any restriction or provision outside the Republic of South Africa. Person's contemplating submitting a Bid are advised

to obtain legal advice as to the possible consequences thereof in terms of the law of the jurisdictions in which they are located.

- 2.7.2. Recipients of this RFB document may only distributed it to other parties whom they wish to involve as part of their bidder consortium in submitting a bid.

## 2.8. **PRESENTATIONS**

**sefa** reserves the right to require that any bidder provides a formal presentation of its bid proposal, at a date and time to be determined by **sefa**. All instructions and clarification regarding the purpose and scope of the presentation/demonstration shall be provided by **sefa**. The bidder shall bear all expenses associated with the preparation of such presentations/demonstrations.

## 2.9. **EVALUATION PROCESS**

Bids shall be evaluated in terms of the process outlined below.

### 2.9.1. **STAGE 1: INITIAL SCREENING PROCESS & PRE-TARGET REQUIREMENTS**

During this stage, bid responses will be reviewed for purposes of assessing compliance with the RFB requirements including the General Conditions of Contract as outlined in this RFB, stated Special Conditions of Contract.

### 2.9.2. **STAGE 2: MANDATORY REQUIREMENTS**

Bids will be evaluated on Mandatory as outlined in **ANNEXURE C.**

**NB:** Failure to comply with the requirements in Stage 2 shall lead to disqualification of the bid proposal.

### 2.9.3. **STAGE 2: FUNCTIONALITY EVALUATION**

- a. All bids will be evaluated independently by the evaluation panel members in terms of the defined evaluation criteria for functionality evaluation.
- b. Bids that score less than **70/100** on functionality shall not be considered further.
- c. Bids will be evaluated on Functional requirements as outlined in **ANNEXURE D.**

### 2.9.4. **STAGE 3: EVALUATION OF PROPOSAL ON APPLICABLE POINTS SYSTEM**

- 2.9.4.1. Only bidders that have scored a minimum of **70/100** on functionality will be evaluated during stage 3 for pricing and B-BBEE.

- 2.9.4.2. In terms of Preferential Procurement Regulations pertaining to the Preferential Procurement Policy Framework Act, 2000 (Act 5 of 2000) and the amended regulations, responsive bids will be adjudicated by the State on the applicable point system.

2.9.4.3. In terms of **80/20 points system**, points are awarded to bidders on the basis of:

**The bid price (maximum 80 points)**

Following formula will be used to calculate the points for price:

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

Where

$P_s$  = Points scored for comparative price of bid under consideration

$P_t$  = Comparative price of bid under consideration

$P_{\min}$  = Comparative price of lowest acceptable bid

| B-BBEE Status Level of Contributor | Number of Points |
|------------------------------------|------------------|
| 1                                  | 20               |
| 2                                  | 18               |
| 3                                  | 14               |
| 4                                  | 12               |
| 5                                  | 8                |
| 6                                  | 6                |
| 7                                  | 4                |
| 8                                  | 2                |
| Non-compliant contributor          | 0                |

2.9.4.4. The points scored by a bidder in respect of the level of B-BBEE contribution will be added to the points scored for price.

2.9.4.5. Only bidders who have completed and signed the declaration part of the preference claim form and who have submitted a B-BBEE status level certificate issued by a SANAS accredited verification agency will be considered for preference points. See requirements as outlined under item 2.4.5.

2.9.4.6. **sefa** may, before a bid is adjudicated or at any time, require a bidder to substantiate claims it has made with regard to preference.

2.9.4.7. The points scored will be rounded off to the nearest 2 decimals.

2.9.4.8. In the event that two or more bids have scored equal total points, the contract will be awarded to the bidder scoring the highest number of preference points for B-BBEE.

2.9.4.9. However, when functionality is part of the evaluation process and two or more bidders have scored equal points including equal preference points for B-BBEE, the contract will be awarded to the bidder scoring the highest for functionality.

- 2.9.4.10. Should two or more bids be equal in all respects, the award shall be decided by the drawing of lots.
- 2.9.4.11. A contract may, on reasonable and justifiable grounds, be awarded to a bid that did not score the highest number of points.
- 2.9.4.12. **sefa** reserves the right to enter into negotiations with the preferred bidder.

### **3. POST AWARD CONDITIONS**

- 3.1. Services will be rendered during working hours from Mondays to Fridays, unless otherwise stated in the Scope of Work / Terms of Reference.
- 3.2. Equipment and/or productivity tools brought onto or used on site must comply with the Occupational Health & Safety Act and any regulations promulgated in terms of this Act.
- 3.3. The bidder shall be liable for insuring his/her staff members against any injury or death.
- 3.4. The successful bidder shall submit a monthly statement of all outstanding payments, credit notes issued, and payments made. Such statements shall also contain the order number, the details of the date of the transaction, the invoice number, remittance number and credit note details.
- 3.5. **sefa** shall not be held responsible in any way for any damages, losses, theft of equipment or any valuables of the successful bidder or injury of his/her employees whilst on site or in the execution of their duties.
- 3.6. All procurement related to this service, as outlined in this RFB, shall be conducted by **sefa's** Supply Chain Management department only.

### **4. STAFF REQUIREMENTS**

- 4.1. The successful bidder must ensure the following:
  - a. That the staff working under this contract are in good health.
  - b. That they are adequately trained prior to commencement of the contract.
  - c. That replacement staff is available should the need arise. The bidder is obligated to inform **sefa** of any removal and replacement and the replacement of staff can only be done with the formal approval of **sefa**.
  - d. Staff must be dressed appropriately and where required, staff uniforms must be in good condition.
  - e. The bidder's staff must be South African citizens and **sefa** reserves the right to validate citizenship.

### **5. RESOURCE REQUIREMENTS**

The successful bidder must provide the following equipment, if required by the bidder's staff, in the execution of their duties:

- Laptop or similar device.
- Internet connectivity.
- Transportation and/or vehicle (if required) to deliver the service outlined in this bid.
- Cellphone and/or landline.

## 6. SERVICE LEVEL AGREEMENT

- 6.1. The successful bidder will be required to enter into a Service Level Agreement with **sefa**.
- 6.2. A performance measurement processes will form an integral part of the Service Level Agreement, to be signed after the successful bidder has been appointed.

## 7. SUPPLIER DUE DILIGENCE

- 7.1. **sefa** reserves the right to conduct bidder due diligence to short listed bidders prior to final award or at any time during the contract period. This may include site visits if applicable.
- 7.2. **sefa** reserves the right to request the successful bidder and its staff to undergo a security vetting and/or credit vetting processes via external services providers such as Credit Bureaus and the South African Police Services. By submitting a bid proposal, the bidder gives explicit approval for **sefa** to conduct such vetting requirements, if and when required.

## 8. BID CANCELLATION

In the case of the cancellation of this RFB, **sefa** shall endeavour to inform all bidders, through the same medium used for the communication of the RFB

## 9. MATERIAL CHANGES

- 9.1. Any material change in the control and/or composition of any bidder or any core member of a bidder after submission of a Bid, shall require the prior written approval of **sefa**, and any failure to seek such approval from **sefa** shall result in **sefa** being entitled, in its sole discretion, to exclude the relevant bidder from any further participation in the bid process or to cancel the engagement. This shall be interpreted to include post appointment and subcontracting of work arising out of this bid to complete certain work.
- 9.2. **sefa** shall be the sole arbiter as to what constitutes a “material change in the control and/or composition of any bidder”, and as to what constitutes a “core member of a bidder” for purposes of such approval. Any request for such approval shall be made to **sefa’s** Supply Chain Management in writing and shall provide sufficient reasons and information to allow **sefa** to make such a decision. **sefa** reserves the right to accept or reject any such request for approval.



## 10. COMMUNICATION

- 10.1. **sefa** may communicate with bidders where clarity is sought after the closing date of the bid and prior to the award of the contract, or to extend the validity period of the bid, if necessary. Such communications will be done via the Supply Chain officials listed as the contact persons for this bid process.
- 10.2. All communication (enquiries/clarifications) relating to this bid shall take place between the bidder and the Supply Chain Management officials listed as the contact persons for this bid process. Such communication shall be done in writing only.
- 10.3. Communication between the closing date and the award of the bid, between the bidder and other **sefa** officials or persons acting in an advisory capacity for the State, in respect of this bid, is prohibited.

## 11. CONTACT DETAILS

### 11.1. Main Contact

**Name** : Sebotse Mokgabudi

**Tel** : (012) 748-9725

**Email** : [sebotsem@sefa.org.za/procurement@sefa.org.za](mailto:sebotsem@sefa.org.za/procurement@sefa.org.za)

**NB:** Communication outside this platform is **strictly prohibited** and should bidders be found to be in contact with any of **sefa's** staff members on matters relating to this bid, such bidders shall automatically be disqualified from this bid process.

## 12. SCOPE OF WORK / TERMS OF REFERENCE





The Scope of Work / Term of Reference is attached as **ANNEXURE E**.

## 13. ANNEXURES

|            |   |   |
|------------|---|---|
| Annexure A | : | Standard Bidding Documents: SBD1 to SBD 6.1 Forms |
| Annexure B | : | Sworn Affidavit Templates for EMEs and QSEs       |
| Annexure C | : | Mandatory Requirement Criteria                    |
| Annexure D | : | Functionality Requirements Criteria               |
| Annexure E | : | Scope of Work / Terms of Reference                |
| Appendix 1 | : | Bid Proposal Template                             |

## Annexure A

### Standard Bidding Documents: SBD1 to SBD6.1 Forms

| Document Name  | Template   |
|--|--|
| National Treasury. Government Procurement: General Conditions of Contract, July 2010 | <br>NT General<br>Conditions of Contr |
| SBD 1  | <br>SCM-Bid<br>documents SBD 1 -E     |
| SBD 6.1  | <br>SBD 6 1 2017.pdf                  |
| SBD 4  | <br>SCM-Bid<br>documents SBD 4.pc    |

## **Department of Trade and Industry (DTI) Templates**

Applicable to all sectors except Construction



DTI Sworn Affidavit  
EME Gen.pdf



DTI Sworn Affidavit  
QSE.pdf

Also available from the DTI:

[https://www.thedti.gov.za/economic\\_empowerment/docs/Affidavit-QSE-Gen.pdf](https://www.thedti.gov.za/economic_empowerment/docs/Affidavit-QSE-Gen.pdf)

[https://www.thedti.gov.za/economic\\_empowerment/docs/Affidavit-EME-Gen.pdf](https://www.thedti.gov.za/economic_empowerment/docs/Affidavit-EME-Gen.pdf)

## **Construction Sector Charter Council (CSCC) Templates**

Applicable for EMES and QSEs in the construction industry, residing under the CSCC.



Final CSC EME  
Affidavit - March 2018

Also available from the CSCC:

<http://www.cscconline.org.za/documents/Final%20CSC%20EME%20Affidavit%20-%20March%202018.pdf>

## EVALUATION CRITERIA

## MANDATORY REQUIREMENTS

The bidder must indicate their compliance/ non-compliance to the following requirements and to substantiate as required. The bidder must respond in the format below, where additional information is provided/ attached somewhere else; such information must be clearly referenced.

| NO | MANDATORY REQUIREMENTS   | COMPLY/NOT COMPLY |
|----|--|-------------------|
| 1. | <p><b>EXPERIENCE</b></p> <ul style="list-style-type: none"> <li>• The bidder must at least have five (5) years of experience in the field of Enterprise Risk Management (ERM) Years of experience in the financial services companies will be an added advantage.</li> <li>• The bidder must submit at least three (03) contactable reference letters in the last five years, in ERM as per above requirement. The letters must be on the client letterhead and should contain the following information below. <ul style="list-style-type: none"> <li>- Name of department/organisation</li> <li>- Description of the contract and duration</li> <li>- Contact details and person.</li> </ul> </li> </ul> |                   |
| 2. | <p><b>ACCREDITATION CERTIFICATES</b></p> <ul style="list-style-type: none"> <li>• The Bidders must be certified in the field of Enterprise Risk Management and Business Continuity Management. The exception will be provided to project leads certified in the following: <ul style="list-style-type: none"> <li>- Lead Risk Manager (ISO 31000)</li> <li>- Business Continuity Institute (BCI) ISO 22301</li> </ul> </li> </ul> <p>NB: Bidders must submit a valid certificate issued by the relevant professional body. Copies must be certified and not older than three (3) months.</p>   |                   |

**NB: Failure to comply with the Mandatory Requirements may lead to disqualification of the proposal.**

## EVALUATION CRITERIA

## FUNCTIONAL REQUIREMENTS

Bidders will be evaluated to determine their capability to deliver on specific requirements. A minimum score of 70 points out of 100 was set as a minimum threshold. Bidders with the functionality score of 70 point or more out of 100 as per requirement will be further evaluated on Price and BEE.

| FUNCTIONALITY  | POINTS  |          |  |          |   |          |  |          |  |          |    |
|--|---|----------|--|----------|---|----------|--|----------|--|----------|----|
| <b>EXPERIENCE IN RISK MATURITY</b> <ul style="list-style-type: none"> <li>The service provider should demonstrate experience in conducting Risk Maturity for another organisations. Reference letters where risk maturity assessments have been conducted should be provided. The letters where risk maturity exercise have been conducted must be on the client letter and should contain the following information below: <ul style="list-style-type: none"> <li>Name of department/organisation</li> <li>Description of the contract and duration</li> <li>Contact details and person.</li> </ul> </li> </ul> <p><b>POINTS ALLOCATION:</b></p> <table> <tr> <td>3 reference letters</td><td>3 points</td></tr> <tr> <td>4 reference letters</td><td>4 points</td></tr> <tr> <td>5 reference letters</td><td>5 points</td></tr> </table>   | 3 reference letters   | 3 points | 4 reference letters                                  | 4 points | 5 reference letters   | 5 points | 35   |          |  |          |    |
| 3 reference letters  | 3 points  |          |  |          |   |          |  |          |  |          |    |
| 4 reference letters  | 4 points  |          |  |          |   |          |  |          |  |          |    |
| 5 reference letters  | 5 points  |          |  |          |   |          |  |          |  |          |    |
| <b>BIDDERS TEAM MEMBERS EXPERIENCE</b> <ul style="list-style-type: none"> <li>Bidders should provide three (03) senior personnel including Project Lead that will be allocated for the project and they must have 3 years' experience in Enterprise Risk Management.</li> <li>The Project Lead should demonstrate more than 5 years of experience with relevant qualifications.</li> </ul> <p><b>NB:</b> As proof, abbreviated Curriculum Vitae (CVs) of personnel involved in the implementation of the project, must be included as part of the proposal. The attached CV should encompass sound and vast experience in the field or ERM including qualification.</p> <p><b>PERSONNEL EXPERIENCE - POINTS ALLOCATION:</b></p> <table> <tr> <td>Less than 1 year experience for the proposed personnel in ERM</td><td>1 Point</td></tr> <tr> <td>1-2 years' experience for the proposed personnel ERM</td><td>2 Points</td></tr> <tr> <td>3 years' experience for the proposed personnel in ERM with two completed projects</td><td>3 Points</td></tr> <tr> <td>4-5 years for the proposed personnel in in ERM with three completed projects</td><td>4 Points</td></tr> <tr> <td>Above 5 years for the proposed personnel in ERM with four and above completed projects. Lead Project manager has 5 years' experience</td><td>5 Points</td></tr> </table> | Less than 1 year experience for the proposed personnel in ERM | 1 Point  | 1-2 years' experience for the proposed personnel ERM | 2 Points | 3 years' experience for the proposed personnel in ERM with two completed projects | 3 Points | 4-5 years for the proposed personnel in in ERM with three completed projects | 4 Points | Above 5 years for the proposed personnel in ERM with four and above completed projects. Lead Project manager has 5 years' experience | 5 Points | 35 |
| Less than 1 year experience for the proposed personnel in ERM  | 1 Point   |          |  |          |   |          |  |          |  |          |    |
| 1-2 years' experience for the proposed personnel ERM   | 2 Points  |          |  |          |   |          |  |          |  |          |    |
| 3 years' experience for the proposed personnel in ERM with two completed projects  | 3 Points  |          |  |          |   |          |  |          |  |          |    |
| 4-5 years for the proposed personnel in in ERM with three completed projects   | 4 Points  |          |  |          |   |          |  |          |  |          |    |
| Above 5 years for the proposed personnel in ERM with four and above completed projects. Lead Project manager has 5 years' experience   | 5 Points  |          |  |          |   |          |  |          |  |          |    |

|  |  |         |   |          |   |          |  |          |  |          |                  |
|--|--|---------|---|----------|---|----------|--|----------|--|----------|------------------|
| <p><b>METHODOLOGY &amp; APPROACH</b></p> <p>The bidder should demonstrate a detailed methodology and approach, indicating how they will plan and execute activities and requirements stipulated herein.</p> <ul style="list-style-type: none"> <li>• The bidder should also demonstrate a clear methodology with the implementation of ERM activities with project time frames.</li> <li>• How the work will be sequenced over time and what the deliverables will be</li> </ul> <p><b>POINTS ALLOCATION</b></p> <table border="1"> <tr> <td>Proposed implementation project plan submitted and do not correlate with the required scope of works</td><td>1 Point</td></tr> <tr> <td>The proposed implementation project plan submitted with task dependencies</td><td>2 Points</td></tr> <tr> <td>The proposed implementation project plan correlates with the scope of work. All-important activities are indicated in the activity schedule and their timing and sequence is appropriate and consistent with project objectives</td><td>3 Points</td></tr> <tr> <td>The proposed implementation plan has been provided in detail and aligns to the requirements of the project</td><td>4 Points</td></tr> <tr> <td>Solid implementation plan with timelines have been provided, a clear methodology has been outlined</td><td>5 Points</td></tr> </table> | Proposed implementation project plan submitted and do not correlate with the required scope of works | 1 Point | The proposed implementation project plan submitted with task dependencies | 2 Points | The proposed implementation project plan correlates with the scope of work. All-important activities are indicated in the activity schedule and their timing and sequence is appropriate and consistent with project objectives | 3 Points | The proposed implementation plan has been provided in detail and aligns to the requirements of the project | 4 Points | Solid implementation plan with timelines have been provided, a clear methodology has been outlined | 5 Points | <p><b>30</b></p> |
| Proposed implementation project plan submitted and do not correlate with the required scope of works   | 1 Point  |         |   |          |   |          |  |          |  |          |                  |
| The proposed implementation project plan submitted with task dependencies  | 2 Points   |         |   |          |   |          |  |          |  |          |                  |
| The proposed implementation project plan correlates with the scope of work. All-important activities are indicated in the activity schedule and their timing and sequence is appropriate and consistent with project objectives  | 3 Points   |         |   |          |   |          |  |          |  |          |                  |
| The proposed implementation plan has been provided in detail and aligns to the requirements of the project   | 4 Points   |         |   |          |   |          |  |          |  |          |                  |
| Solid implementation plan with timelines have been provided, a clear methodology has been outlined   | 5 Points   |         |   |          |   |          |  |          |  |          |                  |
| <p><b>TOTAL FUNCTIONALITY</b></p>  | <p><b>100</b></p>  |         |   |          |   |          |  |          |  |          |                  |

### SCOPE OF WORK / TERMS OF REFERENCE

#### 1. SCOPE OF WORK AND DELIVERABLES

- 1.1 The successful bidder will be expected to assist **sefa** with the implementation of Enterprise Risk and Business Continuity Management services for the period of three (03) years.

#### 2. BACKGROUND

- 2.1. The purpose of this Request for Bid (RFB) is to appoint a Service provider to assist with the implementation of Enterprise Risk Management and Business Continuity Management activities for Small Enterprise Finance Agency SOC Limited.

#### 3. OBJECTIVES

The primary objectives of the services required are as follows:

- 3.1. Conduct Risk Maturity Assessment for the current financial year and make provision of a Risk Maturity Assessment tool that will aid with risk maturity assessment on an annual basis.
- 3.2. Development of other relevant policies related to Enterprise Risk Management
- 3.3. Development of Risk Universe for **sefa**.
- 3.4. Review the list of KRI linked to all key risk for strategic risks and departmental risks.
- 3.5. To ensure that Management and the Risk Committee are equipped with relevant information to be able to discharge their responsibilities efficiently and effectively.
- 3.6. To facilitate a strategic risk workshop with relevant stakeholders to ensure that strategic and operational risks that can impede sefa from achieving its strategic objectives efficiently and economically are identified and assessed in line with sefa Enterprise Risk Management (ERM) policy and Framework.
- 3.7. To ensure that uncertainties and untapped opportunities that affect an organisation's strategy are explored.
- 3.8. Assist in the establishment of Business Continuity Management Committee which include Emergency Response, Crisis Management and IT Disaster Recovery
- 3.9. Review and enhance the Business Continuity Management plans for **sefa**, to determine the relevancy and currency of the plans

## 4. FUNCTIONAL REQUIREMENTS

4.1. The successful bidder will be expected to assist **sefa** with the implementation of Enterprise Risk and Business Continuity Management Services. **sefa** is therefore inviting bidders to submit proposals to conduct this exercise and the successful bidder is expected to assist with the following requirements:

| REQUIREMENTS |  |   |
|--------------|--|---|
| No           | Requirement  | EXPECTATIONS  |
| 1.           | Risk Maturity                                      | <p>The service provider is expected to conduct risk maturity assessment for the financial year and provide a risk maturity assessment tool, the tool should:</p> <ul style="list-style-type: none"><li>• The tool should ideally enable the organisation to compare or benchmark its risk maturity level to similar organisation's or organisation's within the same sector.</li><li>• The tool should provide reporting in detailed narrative format that includes where necessary key explanations of the various items being assessed.</li><li>• support instant reporting upon completion of the risk maturity assessment.</li><li>• The solution provider should have the capability to provide facilitation support as well as real-time technical support during the risk maturity assessment.</li></ul> |
| 2.           | Risk Universe                                      | <ul style="list-style-type: none"><li>• The service provider is expected to develop <b>sefa's</b> Risk Universe</li></ul>   |
| 3.           | Key Risk Indicators                                | <ul style="list-style-type: none"><li>• The service provider is expected to develop a Key Risk Indicator Framework that will provide a methodology for identification of qualitative and quantitative indicators and further expand on and implement the KRI process as part of monitoring and reviewing which will enhance the proactive management of risk.</li><li>• Each department needs to have performance metrics for normal performance monitoring, and these can be adapted into KRIs. Focusing on qualitative and quantitative tolerance.</li></ul>  |
| 4.           | Opportunity management framework                   | <ul style="list-style-type: none"><li>• Develop an opportunity management framework that will aid with the identification of untapped opportunities associated with identified risks.</li></ul>   |
| 5.           | Facilitate and report on Strategic Risk Assessment | <ul style="list-style-type: none"><li>• Produce complete, accurate and valid 2023/2024 Strategic Risk Assessment Report and Risk Profile</li></ul>  |



|     |                            |   |
|-----|----------------------------|---|
| 6.  | Business Continuity Plans  | <ul style="list-style-type: none"> <li>Review and enhance the current Business Continuity Plans and recovery strategies</li> </ul>  |
| 7.  | ERM and BCM Training       | <ul style="list-style-type: none"> <li>Constant engagement of Leadership to ensure awareness of ERM and BCM</li> </ul>  |
| 8.  | Khula Business Premises    | <ul style="list-style-type: none"> <li>Enhance Khula Business Premises OHS reporting</li> </ul>   |
| 9.  | Risk Management Procedures | <ul style="list-style-type: none"> <li>Review and enhance the current Risk Management Procedures.</li> </ul>  |
| 10. | Incident Management        | <ul style="list-style-type: none"> <li>Develop a methodology for incident management and provide awareness on the process required for effective incident management.</li> </ul>                                |
| 11. | BCM Committee              | <ul style="list-style-type: none"> <li>Assist in evaluate governance around of Business Continuity Management Committee which include Emergency Response, Crisis Management and IT Disaster Recovery</li> </ul> |
| 12. | eLearning Platforms        | <ul style="list-style-type: none"> <li>Assist with the develop of eLearning platforms for constant interaction with staff to improve risk aware culture.</li> </ul>   |

## **5. BID PROPOSAL FORMAT**

All bidders must return their proposals categorised and indexed under the following sections:

## **6. SECTION 1: LEGISLATIVE REQUIREMENTS**

The bidder must supply the required documentation as outlined in this Request for Bid document as outlined in item 2.4.5.

## **7. SECTION 2: COMPANY PROFILE & REFERENCES**

The bidder must attach a copy of the company's profile, clearly outlining the number of years involved in the implementation of Enterprise Risk and Business Continuity Management activities

Reference letters or appointment letters, as outline in the evaluation criteria, must be submitted as part of this section.

## **8. SECTION 3: QUALIFICATIONS, SKILLS AND EXPERIENCE**

The bidder must complete the table in Section 3, outlining the qualifications and experience of the bidders' staff that will be assigned to deliver the service to **sefa**. Should any of these staff members be replaced, authorisation must be requested from **sefa**. The proposed replacement must meet the requirements as outlined in this SOW/TOR.

A Curriculum Vitae must be attached for each staff member who will be assigned to the project team.

## **9. SECTION 4: PROJECT IMPLEMENTATION PLAN**

The bidder must submit a detailed project implementation plan that outlines the steps required.

## **10. SECTION 5: PRICING PROPOSAL**

Bidder must submit a pricing proposal as outlined in the Bid Proposal Template (Appendix 1).

## **11. SECTION 6: ADDITIONAL INFORMATION**

Any additional information pertinent to the proposal can be attached under this Section.

An electronic editable copy of the Bid Proposal Template will be available on the **sefa** website:

<http://www.sefa.org.za/publications/tenders>

# Appendix 1

## Bid Proposal

### COVER PAGE

### BID PROPOSAL

|                  |  |
|------------------|--|
| Bid Number       |  |
| Company name     |  |
| Contact Person   |  |
| Telephone Number |  |
| e-mail address   |  |

## **SECTION 1: LEGISLATIVE REQUIREMENTS**

Attach all required documentation behind this section.

## **SECTION 2: COMPANY PROFILE & REFERENCES**

Attached company profile and reference letters behind this section.

### SECTION 3: QUALIFICATIONS AND EXPERIENCE

Complete the table below and attach Curriculum Vitae as part of this section.

| Name & Surname of Staff Member | Role in the Team | Qualifications | Years of Experience |
|--------------------------------|------------------|----------------|---------------------|
|                                |                  |                |                     |
|                                |                  |                |                     |
|                                |                  |                |                     |
|                                |                  |                |                     |
|                                |                  |                |                     |
|                                |                  |                |                     |

## **SECTION 4: PROJECT IMPLEMENTATION PLAN**

Attach required documentation under this section.

## SECTION 5: PRICING PROPOSALS

Complete the table below.

| SERVICE DESCRIPTION                   | PRICING |
|---------------------------------------|---------|
|                                       |         |
|                                       |         |
|                                       |         |
|                                       |         |
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|                                       |         |
|                                       |         |
|                                       |         |
| Price <u>exclusive</u> of VAT         |         |
| VAT @ 15%                             |         |
| <b>Total Price (inclusive of VAT)</b> |         |

**NOTE:** Pricing must include all increases/escalations that will be incurred for the duration of the contract.

| Total Price Per Year            | Price Inclusive of VAT |
|---------------------------------|------------------------|
| Year 1                          |                        |
| Year 2                          |                        |
| Year 3                          |                        |
| <b>TOTAL – 3 years Incl.VAT</b> |                        |



## **SECTION 7: ADDITIONAL INFORMATION**

Any additional information that is considered pertinent to the proposal can be attached under this section.