

## Technical/ Functional evaluation criteria

The tenderer must provide proof of documentation to the following requirements to substantiate what they have submitted as required. The tenderer must package the response according to the format below and where additional information is provided/ attached somewhere else; such information must be clearly referenced. Tenderers must obtain at least 70% or points on the technical evaluation to be considered for further evaluation on Price and B-BBEE. Tenderers that fail to achieve 70% or points shall be disqualified.

| No. | Technical Evaluation Criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Applicable scoring guideline                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Weighting |
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|     | <p><b>Quality management of audit</b></p> <p>The tenderer must submit evidence of the following:</p> <ul style="list-style-type: none"> <li>• The tenderer's approach to perform a proactive assurance, including internal audit quality methodology and Quality Assurance and Improvement Process;</li> <li>• Signed Letter of undertaking from the tenderer to confirm that the tenderer adopts a quality assurance improvement programme (QAIP) as per the Global Internal Audit standards; and</li> <li>• A letter or certification, signed by an independent quality reviewer, indicating the conformance quality rating achieved by the tenderer .</li> </ul> | <ul style="list-style-type: none"> <li>• Evidence of proactive assurance/internal audit quality methodology adoption as well as Quality Assurance and Improvement Programme including a letter or certification demonstrating a "General Conformance" quality rating <b>(20 points)</b></li> <li>• Evidence of proactive assurance/internal audit quality methodology adoption as well as Quality Assurance and Improvement Programme including a letter or certification demonstrating a "Partial Conformance" quality rating <b>(10 points)</b></li> <li>• Evidence of proactive assurance/internal audit quality methodology adoption as well as Quality Assurance and Improvement Programme with no letter or certification demonstrating a quality rating <b>(5 points)</b></li> <li>• No evidence of Quality Assurance and Improvement Programme as well as adoption of internal audit quality methodology <b>(0 points)</b></li> </ul> | 20        |

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|  | <p><b>Proactive Assurance/internal audit experience</b></p> <ul style="list-style-type: none"> <li>The tenderer's proactive assurance services experience in the public sector, including specialised skills, expertise and value-added services (<b><i>Experience in auditing public procurement and supply chain management environment will be an added advantage</i></b>).</li> <li>To demonstrate knowledge and experience, the tenderer must submit contactable client references where the tenderer has successfully concluded internal audit work in terms of scope and complexity in the past five (5) years.</li> </ul> <p>A minimum of three (3) client references is recommended.</p> | <ul style="list-style-type: none"> <li>Three or more qualifying client references, of which at least one demonstrates successfully completed proactive assurance/internal audit work relating specifically to public procurement and supply chain management in the public sector <b>(20 points.)</b></li> <li>Three or more qualifying client references demonstrating relevant proactive assurance/internal audit work, but none relating specifically to public procurement and supply chain management <b>(15 points)</b></li> <li>Two qualifying client references <b>(10 points.)</b></li> <li>One qualifying client reference <b>(5 points.)</b></li> <li>None of the submitted client references meet defined expectations <b>(0 points)</b></li> </ul> | 20  |
|  | <p><b>Qualifications and experience of the proposed team of resources</b></p> <p>Assessment of the condensed curricula vitae of personnel who will be assigned to the NTCSA's account. (Qualifications and experience of proposed resources). Audit personnel should have the relevant number of years' experience as well as relevant professional qualifications as follows:</p> <ul style="list-style-type: none"> <li>At least one (1) Executive/Director level personnel should have a minimum of 10 years internal audit experience, including 5 years internal audit experience in public sector and should be a qualified CIA or CA(SA) or equivalent</li> </ul>                          | <p><b>1. Executive/Director resources — 7 points</b></p> <ul style="list-style-type: none"> <li>Two or more qualifying resources: <b>(7 points)</b></li> <li>One qualifying resource: 3 points</li> <li>No qualifying resource: 0 points</li> </ul> <p><b>2. Middle-management resources — 6 points</b></p> <ul style="list-style-type: none"> <li>Two or more qualifying resources: <b>(6 points)</b></li> <li>One qualifying resource: <b>(3 points)</b></li> </ul>                                                                                                                                                                                                                                                                                           | 25% |

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|  | <ul style="list-style-type: none"> <li>• At least two (2) Middle management (Audit managers, Senior Managers, associate director) audit personnel proposed should have a minimum of 8 years internal audit experience, including 4 years internal audit experience in public sector and should be a qualified CIA or CA(SA) or equivalent</li> <li>• At least four (4) Auditor or specialist level personnel proposed should have a minimum of 5 years internal audit experience, including 2 years internal audit experience in public sector with a B Com degree or any audit related qualification.</li> <li>• At least one (1) member of the audit team at the executive/ director or middle management level should have a minimum of 10 years IT audit experience, including 5 years IT security audit experience in a complex environment and should have a CISA, CISM or any IT security equivalent certification.</li> </ul> <p>A resource qualifies only where the submitted CV and supporting evidence demonstrate every prescribed qualification, professional designation and experience requirement for that category. The tenderer document must state the minimum number of middle-management and auditor/specialist resources against which the percentages will be calculated. The same individual may not be counted in more than one resource category, except for the IT-audit/IT-security specialist where expressly permitted.</p> <p>The NTCSA reserves the right to assess the proposed number of resources in line with its scope of the proactive assurance requirements as well as the audit plan and the audit methodology as proposed by the tenderer, to determine whether it is sufficient to meet the required objectives.</p> | <ul style="list-style-type: none"> <li>• No qualifying resource: <b>(0 points)</b></li> </ul> <p><b>3. Auditor/Specialist resources — 7 points</b></p> <ul style="list-style-type: none"> <li>• Four or more qualifying resources: <b>(7 points)</b></li> <li>• Three qualifying resources: <b>(5 points)</b></li> <li>• Two qualifying resources: <b>(3 points)</b></li> <li>• One qualifying resource: <b>(1 point)</b></li> <li>• No qualifying resource: <b>(0 points)</b></li> </ul> <p><b>4. IT-audit/IT-security specialist — 5 points</b></p> <ul style="list-style-type: none"> <li>• At least one resource meets the IT-audit experience, IT-security experience and certification requirements: <b>(5 points)</b></li> <li>• Experience requirements met, but certification not demonstrated: <b>(2 points)</b></li> <li>• No qualifying resource: <b>(0 points)</b></li> <li>• </li> </ul> |  |
|  | <b>Audit methodology, execution plan and value add</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |

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|              | <ul style="list-style-type: none"> <li>The tenderer is expected to clearly stipulate its audit methodology and approach on its proposed three-year audit rolling plan to achieve the internal audit objectives.</li> <li>The tenderer should further include the associated audit tools to be used as well as the proposed resources to successfully execute on the assignment. The tenderer should indicate what information would be required for it to successfully execute this assignment.</li> <li>The tenderer should also highlight any value-add services that will be introduced in its approach.</li> </ul> | <ul style="list-style-type: none"> <li>Tenderer meets all the specification requirements and demonstrates practical value-add services <b>(30 points)</b></li> <li>Tenderer meets all the specification requirements <b>(25 points)</b></li> <li>Tenderer meets some specification requirements <b>(15 points)</b></li> <li>Tenderer does not meet any of the specification requirements <b>(0 points)</b></li> </ul>                                                                                                                                                                 | 30%        |
|              | <p><b>Geographic reach</b></p> <p>The tenderer must demonstrate its geographical footprint by providing a work method plan that will be used to service the NTCSA regional offices</p>                                                                                                                                                                                                                                                                                                                                                                                                                                 | <ul style="list-style-type: none"> <li>Work method plan demonstrating that the tenderer has an effective and well practiced project management process and technology capabilities to audit remotely <b>(5 points)</b></li> <li>Work method plan demonstrating that the tenderer has some practiced project management process and some technology capabilities <b>(3 points)</b></li> <li>Work method plan demonstrating that the tenderer has no practiced project management process and no technology capabilities or Work method plan not submitted <b>(0 points)</b></li> </ul> | 5%         |
| <b>Total</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>100</b> |

The minimum qualifying score for functionality is (70 out of 100) points. All tenderers must obtain at least 70% or points on the technical evaluation stage to be considered for further evaluation on Price and B-BBEE. Tenderers that fail to achieve 70% or points shall be disqualified.

