

REQUEST FOR QUOTATIONS

08 SEPTEMBER 2023

**REQUEST FOR QUOTATIONS FOR COMBINED
ASSURANCE MATURITY ASSESSMENT SERVICES**

1. Purpose

- 1.1. To invite service providers to send quotations to conduct a Combined Assurance Maturity Assessment Services

2. Considerations/background

- 2.1. The Railway Safety Regulator (RSR) is a Public Finance Management Act compliant entity and in line with provisions of the afore-mentioned Act and Treasury regulation and guidelines. The RSR Board has adopted the principles of the King 4 report on Corporate Governance. Amongst others Principle 15 of King IV, states that the audit committee should ensure that a combined assurance model that incorporate and optimizes all assurance services and functions so that, taken as a whole, these enable an effective control environment; support the integrity of information used for internal decision-making by management, the governing body and its committees.
- 2.2. Principle 11 and 15 of King IV introduces combined assurance as a recommended governance practice. The recommendation stemmed from the fact that more may be done to improve assurance coverage and quality through better coordination of the Assurance Providers (APs) and at the same time avoiding duplication of effort.
- 2.3. There has been an increase in corporate failures over the past decades, which have been attributed to governance failures. In particular, inadequate risk oversight by boards has been cited as the main cause of these failures. Combined assurance has emerged as a mechanism that can assist boards to exercise their risk oversight role. This entails different assurance providers working together to align their assurance activities, in order to provide

the board with a holistic view of the risk and control environment of the organisation.

- 2.4. The RSR's Combined Assurance Framework is one of the most critical aspect of its overall risk management Programme which serves as a strategic management tool enabling those charged with governance in the organisation to make an informed assessment that there is appropriate assurance on all key risks facing the RSR.

3. Scope of work / Specification

Specifications are as follows:

- 3.1. The Risk Management Unit hereby requests the services of an independent service provider to conduct a Combined Assurance Maturity Assessment to provide a reasonable assurance on the maturity of the RSR's Combined Assurance Framework against a maturity model. The assessment is required in all the components of the Combined Assurance Framework in order to determine the level of maturity and be able to implement measures to recommended actions that will propel the RSR toward a mature state of Combined assurance framework.

4. Administrative / Compliance Requirements

- 4.1. Registration on National Treasury CSD report
- 4.2. Comprehensive quotation (prices must be VAT Inclusive)
- 4.3. Tax Pin & Tax clearance certificate
- 4.4. Fully Completed and signed Standard Bidding Documents (SBD) forms documents
- 4.5. A valid BBBEE certificate or sworn affidavit (on sworn affidavit indicate the day, month and

year of the financial year period ie, 31 March 2022)

- 4.6. Valid company registration documentation that are issued by Companies & Intellectual Property Commission (CIPC)
- 4.7. A Copy of the identity document of the company owner(s)
- 4.8. Valid Medical Certificate
- 4.9. Valid South African Social Security Agency (SASSA) registration **(Where applicable)**
- 4.10. Valid National Council for Persons with Physical Disability in South Africa registration (NCPDSA)

Failure to submit valid documents listed above (No - 4.5, 4.6, 4.7, 4.8, 4.9, 4.10) for proof of claim specific goals as stipulated in Section 6 below will lead to the service provider not being awarded points for specific goal.

5. Functionality Evaluation Criteria - if applicable

- 5.1. The suitable service provider must demonstrate capacity and capability to execute this project by complying with the functionality criteria on the table below:

No.	Element To Be Evaluated.	Functionality Criteria	Scoring Criteria	Max Points
1.	Experience:	The service provider must demonstrate experience in conducting Combined Assurance Maturity	3- 5 years=10 Points Above 5 – below 7 years=20 Points Above 7 years=30	30

		Assessment. A company profile with all details of the core business and contracts or projects undertaken in relation to conducting Combined assurance maturity assessments. A minimum of 3 years is required.	Points	
2.	Project plan and methodology:	The Bidder must provide a detailed explanation of the methodology and project implementation plan which details how the service will be carried out covering.	<p>Methodology and implementation plan NOT submitted=0 Points</p> <p>Poorly defined Methodology and project implementation plan= 10 Points</p> <p>Moderately defined Methodology and project implementation plan= 20 Points</p> <p>Exceptionally defined Methodology and project implementation</p>	30

			plan= 30 Points	
3.	Track Record/Reference Letter	<p>Provide contactable references Letters of Combined assurance maturity assessment conducted in the previous Five (5) years. Reference letter in the letterhead of the client with the following information must be attached:</p> <ul style="list-style-type: none"> • Project name • Time frame • Contract value • Contact details <p>(Attach Reference letters from different clients as evidence of related services previously conducted)</p>	<p>No letter or invalid letter=0 Points One (1) reference letter=5 Points Two (2) reference letters: =10 Points Three (3) reference letters= 15 Points Four (4) reference letters= 20 Points Five (5) or more reference letters= 40 Points</p>	40

Service Providers must attain a minimum threshold of **70 points** or more to be considered for evaluation on the 80/20 Preference Point System.

Failure to attain the set minimum threshold will result in a disqualification.

6. Evaluation 80/20 Preference Point System

- 6.1. The price quotations will be evaluated in accordance with the pre-scripts of the Preferential Procurement Policy Framework Act (PPPFA) and its regulations, in particular Preference Procurement Regulation 2022 which stipulate **80/20 preference point system for acquisition of goods or services with Rand value equal to or below R50 million (inclusive of all applicable tax).**
- 6.2. **A maximum of 80 points for price and 20 points for the specific goal specified on the request for quotation may be awarded to a Service Provider.**
- 6.3. **Points for the specific goal will be awarded as specified on the table below:**

NO	SPECIFIC GOALS	PREFERENCE POINT (OUT OF 20)	PROOF OF CLAIM
1	An Exempt Micro Enterprises (EME) or Qualifying Small Enterprise (QSE) which is <i>at least 51% owned by black people</i>	10	<ul style="list-style-type: none"> • Copy of the identity document of the owner(s) • A valid SANAS accredited BBEE certificate or a valid BBEE sworn affidavit (whichever is applicable) • Central Supplier Database (CSD) report • Valid company registration documentation that are issued by

			Companies & Intellectual Property Commission (CIPC)
2	An Exempt Micro Enterprises (EME) or Qualifying Small Enterprise (QSE) which is at least 51% owned by black women	5	<ul style="list-style-type: none"> • Copy of the identity document of the owner(s) • A valid SANAS accredited BBEE certificate or a valid BBEE sworn affidavit (whichever is applicable) • Central Supplier Database (CSD) report • Valid company registration documentation that are issued by Companies & Intellectual Property Commission (CIPC)
3	An Exempt Micro Enterprises (EME) or Qualifying Small Enterprise (QSE) which is at least 51% owned by youth	3	<ul style="list-style-type: none"> • Copy of the identity document of the owner(s) • A valid SANAS accredited BBEE certificate or a valid BBEE sworn affidavit (whichever is applicable) • Central Supplier Database (CSD) report • Valid company registration documentation that are issued by Companies & Intellectual Property Commission (CIPC)

4	An Exempt Micro Enterprises (EME) or Qualifying Small Enterprise (QSE) which is <i>at least 51% owned by person(s) with disabilities</i>	2	<ul style="list-style-type: none"> • Copy of the identity document of the owner(s) • A valid SANAS accredited BBEE certificate or a valid BBEE sworn affidavit (whichever is applicable) • Central Supplier Database (CSD) report • Valid company registration documentation that are issued by Companies & Intellectual Property Commission (CIPC) • Valid Medical Certificate • Valid South African Social Security Agency (SASSA) registration (Where applicable) • Valid National Council for Persons with Physical Disability in South Africa registration (NCPDSA)
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6.4. For Points to be awarded for the specific goals the proof for the claim for such goal must be submitted.

7. Technical Enquiries

7.1. SCM Enquiries

Mr. Fumani Mabunda

fumanim@rsr.org.za

7.2. Project Manager

Zwannda Mphaphuli

johnsonm@rsr.org.za

8. Closing Date and Time for responses to this request for quotation

- 8.1. The request will be **closed on 19 September 2023 at 14h00**. Responses may be emailed to fumanim@rsr.org.za