



REQUEST FOR QUOTATION

RFQ No.:	Contact Person:
BS/2023/RFQ1387	Jack Serite
RFQ Issue Date:	Contact Details:
Request for quotation – 07 July 2023	011-805-9661
Closing Date: 14 July 2023 at 17:00	Jacks@bankseta.org.za
Description of services/products required:	
Enterprise Risk Maturity Assessment	

Part A: Request for Quotation Documentation

- ✓ Terms of Reference / Specifications.

Part B: Returnable Documents and Schedules:

- ✓ **Returnable Documents which should accompany the quotation.**
 - BANKSETA will check the tax status of the service provider on the CSD report.
 - CSD Master Registration report.
- ✓ **Returnable Forms which should accompany the quotation**
The forms should be fully completed, signed and dated appropriately (see annexure)
 - SBD 4: Declaration of Interest.
 - SBD 6.1 (complete the part that is applicable to the BANKSETA Preferential Procurement Policy).
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PLEASE NOTE:

- ✓ Supplier should be registered on the National Treasury Central Supplier database.
- ✓ The quotation should be on the supplier's letterhead.
- ✓ Quotations should be in accordance with the specifications, unless otherwise stipulated.
- ✓ Where applicable, the official pricing structure should be used. Should the allocated pricing page / information be insufficient, you may include an additional copy of the price page;
- ✓ Suppliers should complete all the Returnable Schedules and also submit all the Returnable Documents.
- ✓ The supplier should complete the BANKSETA Preferential Procurement Point Document.
- ✓ The quotation must be valid for at least 90 days.

Enquiries with regard to specifications may be directed to:

Name: Jack Serite

Telephone No: 011 805 9661

Email : Jacks@bankseta.org.za

CLOSING DETAILS		
CLOSING DATE	CLOSING TIME	MODE OF SUBMISSION
14 July 2023 at 17:00	17:00	ELECTRONIC PDF SENT TO: JACKS@BANKSETA.ORG.ZA COPY SCM@BANKSETA.ORG.ZA

National Treasury has developed a Financial Management Capability Maturity Model (FMCMM). The Risk Management Maturity Assessment is a sub-set of National Treasury's Financial Management Capability Maturity Model (FMCMM). Institutions are encouraged to assess their risk management maturity at least once in a financial year. This will create useful trend information to assess progress towards a mature risk management status, and highlight areas of improvement, stagnancy or regress.

BANKSETA should continually strive to improve the suitability, adequacy and effectiveness of the risk and compliance management programme. And conducting a risk and compliance maturity assessment is the proactive and comprehensive methodology that would assist BANKSETA to improve its enterprise risk maturity.

3. SCOPE OF WORK

3.1 Conduct comprehensive enterprise risk maturity assessment for BANKSETA.

3.2 Develop five years enterprise risk maturity plan that would guide BANKSETA to achieve highest level.

3.3 Provide the comprehensive report with clear recommendations and interventions that BANKSETA should implement to achieve highest maturity level.

3.4 Interview the board, board committees and management

3.5 Conduct survey on the board, board committees, management and staff members.

3.6 Recommend enterprise risk maturity level for the BANKSETA based on their overall assessment of risk and compliance management at the BANKSETA.

3.7 Conduct enterprise risk maturity workshop to BANKSETA employees and management.

3.8 Present the report and the results of the maturity assessment to the Risk Management Committee and Audit Committee.

3.9 Provide skill transfer to Risk and Compliance Unit.

4. EXPECTED OUTCOMES AND DELIVERABLES

4.1 BANKSETA enterprise risk maturity level report.

4.2 Compiled enterprise risk maturity plan/roadmap for BANKSETA.

5. COMPETENCY AND EXPERTISE REQUIRED

The following evaluation criteria in paragraph 6 below will be used to evaluate the responses received to this invitation to quote. Adequate supporting documentation should be provided:

Service providers will be immediately disqualified if any criteria are not adequately responded to.

5.1. The BANKSETA requires the services of a service provider who has been in existence for at least two (2) years performing risk management services.

5.2 The service provider should submit a company profile indicating the numbers of years it has done risk management services.

5.3 The service provider's company registration number on the CSD report will be used to check whether the service provider has been in existence for 2 years.

5.4 The organization responding should provide two (2) written references from clients (on the client's letterhead) where a risk and/or compliance maturity assessment was performed on the client's risk management process in the past two years. The reference letters must specifically state that the service provider performed a risk and/or compliance maturity assessment for their client. (Reference letters where general risk assessment was performed, will not be considered).

The reference letter should

- be on the client's letterhead,

- be signed
- show the contact's name, email address and/or telephone/cellphone number,
- indicate the work done (this should be risk and/or compliance maturity assessment)

5.5 The team leader or manager who will be responsible for the assessment should be a CRM prac, CRM Prof, CPrac, CProf, CA(SA) and / or CIA or a professional who has a finance or audit degree and membership of a South African accounting or audit professional body. The certified qualifications and current professional membership documents must be provided

ENABLING SKILLS DEVELOPMENT IN THE BANKING AND ALTERNATIVE BANKING SECTOR



6. DELIVERY OF ITEMS

The service to be delivered at the BANKSETA head office, Limpopo Region and Eastern Cape Region as per the scope of work.

BANKSETA PREFERENCE POINTS CLAIM DOCUMENT

1.1 The service provider is requested to complete the form below accurately and fully to show the areas where it wishes to claim preference points.

It is the service providers responsibility to ensure that the form is accurately and fully completed.

1.2 For shortlisted service providers, BANKSETA may request additional information and evidence to support the preference points claimed.

1.3 An entity may claim points based on the same shareholding or persons in more than one category. For example, black female disabled shareholders under 35 who is a SA citizen may lead a business to claim points under Empowerment of women, youth empowerment and empowerment of persons with disabilities.

The BANKSETA will allocate preference points as follows:

No	Specific Goals	80/20 Preference Point system
1.	Empowerment of black persons- Ownership by black persons – 51% threshold as explained below	6
2.	Promotion of Local production and Delivery by South Africans – 100% threshold as explained below	6
3.	Empowerment of Women - Women Ownership- Threshold 50% as explained below	2
4	Youth Empowerment Youth Ownership – 33% Threshold as explained below	2
	Empowerment of Persons with Disabilities - Ownership or Employment of People with Disabilities – 20% threshold for Ownership and 10% threshold for Employment of Persons with Disabilities as explained below	2
6.	Promotion of small and medium businesses, co-operatives, and non-governmental institutions in all areas- rural and urban areas – as explained below	2
	Total Points allocated towards specific goals	20

1.4 Empowerment of black persons- Ownership by black persons Black Person Ownership

1.4.1 Black persons are as defined in Broad based black economic empowerment Act (B-BBEE) which currently means Africans, Coloureds, and Indians:

- (a) who are citizens of the Republic of South Africa by birth or decent; or
- (b) who became citizens of the Republic of South Africa by naturalisation –
 - (i) before 27 April 1994.
 - (ii) on or after 27 April 1994 and who would have been entitled to acquire citizenship by naturalisation prior to that date.

Preference Point	Service Provider to INDICATE YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
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Does the service provider wish to claim points under black ownership t where 51% or more ownerships is by black people		6	
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IF YES please provide the following details

DETAILS OF BLACK OWNERS				
	Full Name of Black Owners	ID Number	Ownership Percentage (via shareholding)	Position in the Company
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
	TOTAL Black Ownership			

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for the preference points claimed. Please note that such additional information may include but is not limited to certified IDs, naturalisation records for owners not South African by birth and CIPC records of the entity.

1.5 Preference Points Claimed for Empowerment of 100% Local production of Goods and/or 100% Use of South African Citizens for Delivery of Services.

The goods supplied should be 100% manufactured or assembled in South Africa from 100% local materials and any services supplied should 100% utilising South African citizens. If only services are being sought, the services should be delivered using 100% South African citizens.

Preference Point	Service Provider to Indicate YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
Does the service provider wish to claim points under Promotion of Local production and Delivery by South Africans – 100% threshold		6	

IF YES please provide the following details

Details	Service Provider to Indicate YES or NO
2.1 If goods are to be supplied are these 100% assembled or manufactured in South Africa	
2. If goods are to be supplied are these 100% assembled or manufactured in South Africa	
2.3 If services are to be supplied, are these to be delivered 100% by South African citizens. Kindly note that the citizen status of employees is stated in the ID document	

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for preference points claimed. Please note that such additional information may include but is not limited to sworn affidavits, details of manufacturing/assembly plant, details of main raw material suppliers, employee lists and ID numbers.

1.6 Preference Points Claimed for Empowerment of Women – Through Women Ownership of the Entity- Threshold 50%

Women ownership points will be awarded to a Tenderer who have 50% or more women ownership, of the company or enterprise. The position and role that women owners play in the company should be stated. The woman should be South African citizens.

Preference Point	Service Provider to Indicate YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
Does the service provider wish to claim points under women ownership where 50% or more ownerships is by women who are South African citizens		2	

IF YES please provide the following details

DETAILS OF WOMEN OWNERS WHO ARE MANAGING THE BUSINESS AND ARE SOUTH AFRICAN CITIZENS				
	Full Name of Black Owners	ID Number	Ownership Percentage (via shareholding)	Position in the Company
1				
2				
3				
4				
5				
6				
	TOTAL WOMEN OWNERSHIP			

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for preference points claimed. Please note that such additional information may include but is not limited to certified IDs and CIPC records.

1.7 Preference Points Claimed for Empowerment of Youth Through Youth Ownership of the Service Provider /Enterprise– 33% Threshold

1.7.1 Youth ownership points will be awarded to a Tenderer who have 33% or more youth ownership being persons 35 years and below, determined at the date of tender/ RFQ closing. Youth ownership will be determined based on the shareholding of the members who are defined as youth and are South African citizens, .

Preference Point	Service Provider to Indicate YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
Does the service provider wish to claim points under Youth Ownership – 33% Threshold. The youth should be South African citizens		2	

IF YES please provide the following details

DETAILS OF YOUTH OWNERS WHO ARE SOUTH AFRICAN CITIZENS				
	Full Name of Black Owners	ID Number	Ownership Percentage (via shareholding)	Position in the Company
1				
2				
3				
4				
5				
6				
	TOTAL YOUTH OWNERSHIP			

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for preference points claimed. Please note that such additional information may include but is not limited to certified IDs and CIPC records.

1.8 Preference Points Claimed for Empowerment of Persons with Disabilities - Ownership or Employment of People with Disabilities – 20% threshold for Ownership and 10% threshold for Employment of Persons with Disabilities of Youth Empowerment

1.8.1 Persons with Disability Ownership points will be awarded to a Tenderer who have 20% or more shareholding by South African citizen persons with disability

OR

to tenderers who employ 10% or more South African persons with disability on a permanent basis.

Disability ownership will be determined by the shareholding of the enterprise owned by such

a South African citizen person with disability.

OR

by enterprises whose permanent staff complement consists of 10% or more South African citizen persons with disabilities. Any disabilities need to be legally verifiable for points to be claimed.

Kindly note that full points are awarded for either ownership of persons with disabilities or employment of persons with disabilities.

Preference Point	Service Provider to Indicate YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
Does the service provider wish to claim points under Persons with Disability Ownership points will be awarded to a Tenderer who have 20% or more shareholding by South African citizen persons with disability OR to tenderers who employ 10% or more South African persons with disability on a permanent basis.		2	

IF YES please provide the following details

DETAILS OF OWNERS WHO HAVE DISABILITIES AND ARE SOUTH AFRICAN CITIZENS				
	Full Name of Persons with Disabilities Owners	ID Number	Ownership Percentage (via shareholding)	Position in the Company
1				
2				

3				
4				
5				
6				
	TOTALPERSON WITH DISABILITIES OWNERSHIP			

AND/OR

Total Number of Permanent Employees	Number of Permanent Employees with Disabilities	% Of Employees with Disabilities

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for preference points claimed. Please note that such additional information may include but is not limited to certified IDs, CIPC records, employee list, disabilities list or certificates of disability.

1.9 Preference Points Claimed for Empowerment Small and Medium Enterprises Including Co-operatives and Non-Governmental Organisations in All Areas – Rural and Urban

1.9.1 Small and medium business includes all South African businesses, co-operatives, and non-governmental organisations with annual turnover up to R10 million or alternatively, these entities are recently incorporated, have been operating for less than one year and are projected to have annual turnover of less than R10 million in the first year. The ownership of small and medium business, co-operatives or non-governmental organisations should be 100% South African citizens (or entities owned 100% by South Africa citizens).

Preference Point	Service Provider to Indicate YES OR NO	No of Points per BANKSETA Preference point System	For BANKSETA USE Only Points Claimed
Does the service provider wish to claim points under small and medium business includes all South African		2	

businesses, co-operatives, and non-governmental organisations with annual turnover up to R10 million or alternatively, these entities are recently incorporated, have been operating for less than one year and are projected to have annual turnover of less than R10 million in the first year. The ownership of small and medium business, co-operatives or non-governmental organisations should be 100% South African citizens (or entities owned 100% by South Africa citizens).			
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IF YES please provide the following details

DETAILS OF THE BUSINESS				
Dated Business Incorporated	Financial Year Ending	Turnover in Prior Financial Year of the Enterprise	Budgeted Turnover This Current Financial Year	Turnover to Date in Current Financial Year

For shortlisted service providers, BANKSETA will request additional information and evidence to support the information shown for preference points claimed. Please note that such additional information may include but are not limited to CIPC records, annual financial statements and sworn affidavits.

1.10 False Information from Bidders

Should the BANKSETA ascertain that any bidder has submitted any false information, the BANKSETA may disqualify the bidder/service provider, cancel any award without prejudice to any other remedies available to BANKSETA and report the service provider to National Treasury.

The bidder/service provider will be given an opportunity to give reasons why BANKSETA should not take actions detailed above where false information has been submitted.

