

REQUEST FOR QUOTATIONS

25 June 2024

REQUEST FOR QUOTATIONS FOR RFQ TO CONDUCT RISK AND FRAUD AWARENESS AND TRAINING OF RISK CHAMPIONS

1. Purpose

- 1.1. To invite service providers to send quotations for RFQ To Conduct Risk and Fraud Awareness and Training of Risk Champions

2. Considerations/background

- 2.1. The Railway Safety Regulator (RSR) is a Public Finance Management Act (PFMA) Schedule 3 (a) Public Entity. In terms of the requirements of this Act, the RSR is required to implement and maintain a system of risk management under the control and direction of the Accounting Officer (RSR CE).
- 2.2. The RSR has a legal and moral obligation in terms of the Prevention and Combating of Corrupt Activities Act, 2004 (Act No. 12 of 2004) as amended and the Public Finance Management Act, 1999 (Act No. 1 of 1999) as amended to provide for the strengthening of measures to prevent and combat corruption and corrupt activities within the RSR and promote compliance with statutory and regulatory requirements such as PFMA, Treasury, Prevention and Combating of Corrupt Activities Act, Prevention of Organized Crime Act and others, relating to fraud, corruption, theft and maladministration;
- 2.3. The Railway Safety Regulator (RSR) is committed to the provision of a working environment that encourages identification and prevention of fraud, corruption, or any other illegal activity.
- 2.4. The RSR's Enterprise Risk Management Framework is one of the most critical aspects of the overall risk management to the RSR's regulatory function and associated with the strategies and plans, to encourage responsible, informed risk taking in pursuance of the organization's objectives for the management and identification of risks inherent to its processes.
- 2.5. The risk management principles are to ensure continuous monitoring the state of RSR risk management and compliance with policies and procedures and ensuring education and training in risk and fraud prevention management in order to promote and capitalize on a strong and solid risk culture.

3. Scope of work / Specification

Specifications are as follows: RFQ To Conduct Risk and Fraud Awareness and Training of Risk Champions.

- 3.1.** The RSR hereby requests the services of a service provider to conduct awareness on the Risk Management concepts, Fraud and Corruption Prevention awareness, conduct fraud risk assessment and training to the organization's appointed risk champions.
- 3.2.** Mandatory: The service provider must be Accredited with The Institute of Risk Management South Africa (IRMSA) and Association of Certified Fraud Examiners South Africa (ACFE) professional bodies and any other professional body in relation to Risk and Fraud management. The successful suitable service provider should be able to produce the training and awareness material in the following:
 - 3.2.1. Fraud and Corruption Prevention awareness for all 152 RSR employees (Physical Head Office & Central Region (124 employees) / Hybrid (Coastal Regions (13 employees) & Eastern employees (15 employees)
 - 3.2.2. Conduct Fraud Risk Identification for all 152 RSR employees (Physical Head Office & Central Region (124 employees) / Hybrid (Coastal Regions (13 employees) & Eastern employees (15 employees)
 - 3.2.3. Training the appointed Risk champions on risk and responsibilities of champions (14 Risk Champions). (online)
- 3.3.** The training and awareness should be 2 days and should assist the Champions and employees to perform the following:
 - 3.3.1. Relate Risk Management in business and context
 - 3.3.2. Identify and describe risk in the business environment
 - 3.3.3. Risk Evaluation
 - 3.3.4. Organizational response to risk
 - 3.3.5. Managing risk management within their respective line of duties
 - 3.3.6. Risk management communication and integration to their operational management targets.

- 3.4. Awareness on Fraud and Corruption and the Fraud risk identification should be conducted physically at the RSR Head Office in Waterfall with employees from the regions joining online. Whilst the risk champion training could be consulted online for all Champions.
- 3.5. Awareness on Fraud and Corruption and the Fraud risk identification should be conducted physically at the RSR Head Office in Waterfall with employees from the regions joining online. Whilst the risk champion training could be consulted online for all Champions.
- 3.6. The Fraud awareness should be 2 days and the objective should be to assist the employees to perform the following:
 - 3.6.1. Mitigating fraud risks,
 - 3.6.2. Increased the effectiveness of anti-fraud controls,
 - 3.6.3. Employees be equipped to detect signs of fraudulent activity, potentially preventing fraud before it escalates.
 - 3.6.4. Anti-fraud policies and reporting protocols are followed.
- 3.7. **The successful service provider will be required to commence with Fraud Risk Assessment, awareness and training upon appointment and deliver the report.**

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 (NCPDPSA)

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

- 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.	Evaluation Criteria	Scoring criteria	Weight
1.	Project Plan and Methodology:	• Poorly defined project plan =10 points	40

	The bidder must provide a detailed explanation of the methodology and project implementation plan which details how the training and awareness will be carried out. (Will be regarded as very good when it clearly defines the how part of the services tailored to the RSR)	- Moderately defined project plan = 20 points - Exceptionally defined project plan = 40 points - No Project Plan = 0	
2.	Qualification: Provide qualification of Project leader in Risk Management and/Fraud Management or related qualification	- Diploma/ NQF Level 6= 10 Points - BCom Degree/ NQF level 7 and above = 30 Points	30
3.	CV of Project leader: CV of project leader with relevant experience in Risk Management and Fraud prevention Training & awareness.	- Less than 3 years =0 Points - Above 3 – But Below 5 years = 10 Points - Above 5 Years – But Below 7 years = 15 Points - Above 7 Years -But Below 10 years =20 Points - Above 10 years or More = 30 points	30

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 at least 51% owned by black people	10	• Copy of the identity document of the owner(s) • A valid SANAS accredited BBEE certificate or a valid BBEEE 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	• 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	• 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 at least 51% owned by person(s) with disabilities	2	- 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 (NCPPDSA)

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 Enquiries

Ms. Mokgadi Mamafa

Mokgadi.mamafa@rsr.org.za

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

- 8.1.** The request will be **closed on 04 July 2024 at 16h00**. Responses may be emailed to fumanim@rsr.org.za