

## BID DOCUMENT

**BID NUMBER:** FIC/RFB/INTERNALAUDIT/1/2023/24

**CLOSING DATE FOR THE BID:** 02 JUNE 2023

**CLOSINGTIME FOR THE BID:** 11:00

**DESCRIPTION FOR THE BID:** THE FINANCIAL INTELLIGENCE CENTRE REQUESTS PROPOSALS FROM SERVICE PROVIDERS TO RENDER INTERNAL AUDIT SERVICES FOR A FIVE-YEAR PERIOD.

**SUBMITTING BIDS:** One (1) original and an electronic copy of the RFB document must be handed in / delivered to:  
**TENDER BOX**  
**FINANCIAL INTELLIGENCE CENTRE**  
**BYLSBRIDGE OFFICE PARK**  
**CNR JEAN AVENUE & OLIEVENHOUTBOSCH**  
**(13 CANDELA STREET, HIGHVELD EXT 73)**  
**HIGHVELD**  
**CENTURION**

Bidders are required to inform the FIC when the documents will be delivered at the FIC offices, in order to provide an access code. Communication can be sent to [Keneilwe.masemene@fic.gov.za](mailto:Keneilwe.masemene@fic.gov.za)

**CSD NUMBER**

.....

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**PART A: SBD 1 INVITATION TO BID**

| YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE FINANCIAL INTELLIGENCE CENTRE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|-------|
| BID NUMBER:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | FIC/RFB/INTERNALAUDIT/1/2023/24                                                                                                       | CLOSING DATE:                       | 02 JUNE 2023                                                             | CLOSING TIME:                                                                                        | 11:00 |
| DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | THE FINANCIAL INTELLIGENCE CENTRE REQUESTS PROPOSALS FROM SERVICE PROVIDERS TO RENDER INTERNAL AUDIT SERVICES FOR A FIVE-YEAR PERIOD. |                                     |                                                                          |                                                                                                      |       |
| BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| RECEPTION, FINANCIAL INTELLIGENCE CENTRE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| BYLS BRIDGE OFFICE PARK, CNR JEAN AVENUE & OLIEVENHOUTBOSCH (13 CANDELA STREET, HIGVELD EXT 73 CENTURION)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| HIGHVELD EXT 73                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| CENTURION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                       |                                     | TECHNICAL ENQUIRIES MAY BE DIRECTED TO:                                  |                                                                                                      |       |
| CONTACT PERSON                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Keneilwe Masemene                                                                                                                     |                                     | CONTACT PERSON                                                           | Keneilwe Masemene                                                                                    |       |
| TELEPHONE NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 012 641 6145                                                                                                                          |                                     | TELEPHONE NUMBER                                                         | 012 641 6145                                                                                         |       |
| FACSIMILE NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | N/A                                                                                                                                   |                                     | FACSIMILE NUMBER                                                         | N/A                                                                                                  |       |
| E-MAIL ADDRESS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <a href="mailto:Keneilwe.masemene@fic.gov.za">Keneilwe.masemene@fic.gov.za</a>                                                        |                                     | E-MAIL ADDRESS                                                           | <a href="mailto:Tenders@fic.gov.za">Tenders@fic.gov.za</a>                                           |       |
| SUPPLIER INFORMATION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| NAME OF BIDDER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| POSTAL ADDRESS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| STREET ADDRESS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| TELEPHONE NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | CODE                                                                                                                                  |                                     | NUMBER                                                                   |                                                                                                      |       |
| CELLPHONE NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| FACSIMILE NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | CODE                                                                                                                                  |                                     | NUMBER                                                                   |                                                                                                      |       |
| E-MAIL ADDRESS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| VAT REGISTRATION NUMBER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| SUPPLIER COMPLIANCE STATUS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | TAX COMPLIANCE SYSTEM PIN:                                                                                                            |                                     | CENTRAL SUPPLIER DATABASE No:                                            | MAAA                                                                                                 |       |
| B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | TICK APPLICABLE BOX]<br><input type="checkbox"/> Yes <input type="checkbox"/> No                                                      | B-BBEE STATUS LEVEL SWORN AFFIDAVIT |                                                                          | [TICK APPLICABLE BOX]<br><input type="checkbox"/> Yes <input type="checkbox"/> No                    |       |
| [A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES & QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| ARE YOU THE ACCREDITED REPRESENTATIVE IN SOUTH AFRICA FOR THE GOODS /SERVICES /WORKS OFFERED?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>[IF YES ENCLOSE PROOF]                                                    |                                     | ARE YOU A FOREIGN BASED SUPPLIER FOR THE GOODS /SERVICES /WORKS OFFERED? | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>[IF YES, ANSWER THE QUESTIONNAIRE BELOW] |       |
| QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |
| <p>IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>DOES THE ENTITY HAVE A BRANCH IN THE RSA? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>DOES THE ENTITY HAVE A PERMANENT ESTABLISHMENT IN THE RSA? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>DOES THE ENTITY HAVE ANY SOURCE OF INCOME IN THE RSA? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>IS THE ENTITY LIABLE IN THE RSA FOR ANY FORM OF TAXATION? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>IF THE ANSWER IS "NO" TO ALL OF THE ABOVE, THEN IT IS NOT A REQUIREMENT TO REGISTER FOR A TAX COMPLIANCE STATUS SYSTEM PIN CODE FROM THE SOUTH AFRICAN REVENUE SERVICE (SARS) AND IF NOT REGISTER AS PER 2.3 BELOW.</p> |                                                                                                                                       |                                     |                                                                          |                                                                                                      |       |

## PART B: TERMS AND CONDITIONS FOR BIDDING

### 1. BID SUBMISSION:

- 1.1. BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.
- 1.2. **ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED - (NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.**
- 1.3. THIS BID IS SUBJECT TO THE PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, 2000 AND THE PREFERENTIAL PROCUREMENT REGULATIONS, 2022, THE GENERAL CONDITIONS OF CONTRACT (GCC) AND, IF APPLICABLE, ANY OTHER SPECIAL CONDITIONS OF CONTRACT.
- 1.4. **THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD 7).**

### 2. TAX COMPLIANCE REQUIREMENTS

- 2.1 BIDDERS MUST ENSURE COMPLIANCE WITH THEIR TAX OBLIGATIONS.
- 2.2 BIDDERS ARE REQUIRED TO SUBMIT THEIR UNIQUE PERSONAL IDENTIFICATION NUMBER (PIN) ISSUED BY SARS TO ENABLE THE ORGAN OF STATE TO VERIFY THE TAXPAYER'S PROFILE AND TAX STATUS.
- 2.3 APPLICATION FOR TAX COMPLIANCE STATUS (TCS) PIN MAY BE MADE VIA E-FILING THROUGH THE SARS WEBSITE [WWW.SARS.GOV.ZA](http://WWW.SARS.GOV.ZA).
- 2.4 BIDDERS MAY ALSO SUBMIT A PRINTED TCS CERTIFICATE TOGETHER WITH THE BID.
- 2.5 IN BIDS WHERE CONSORTIA / JOINT VENTURES / SUB-CONTRACTORS ARE INVOLVED, EACH PARTY MUST SUBMIT A SEPARATE TCS CERTIFICATE / PIN / CSD NUMBER.
- 2.6 WHERE NO TCS PIN IS AVAILABLE BUT THE BIDDER IS REGISTERED ON THE CENTRAL SUPPLIER DATABASE (CSD), A CSD NUMBER MUST BE PROVIDED.
- 2.7 NO BIDS WILL BE CONSIDERED FROM PERSONS IN THE SERVICE OF THE STATE, COMPANIES WITH DIRECTORS WHO ARE PERSONS IN THE SERVICE OF THE STATE, OR CLOSE CORPORATIONS WITH MEMBERS PERSONS IN THE SERVICE OF THE STATE."

**NB: FAILURE TO PROVIDE / OR COMPLY WITH ANY OF THE ABOVE PARTICULARS MAY RENDER THE BID INVALID.**

SIGNATURE OF BIDDER:

.....

CAPACITY UNDER WHICH THIS BID IS SIGNED:

.....

(Proof of authority must be submitted e.g. company resolution)

DATE:

.....

## **PART C: SPECIAL CONDITIONS OF CONTRACT**

In this document words in the singular also mean in the plural and vice versa and words in the masculine also mean in the feminine and neuter.

The General Conditions of Contract (GCC) will form part of this BID documents and may not be amended.

Special Conditions of Contract (SCC) relevant to this BID, compiled separately for this BID (if applicable) will supplement the General Conditions of Contract. Whenever there is a conflict, the provisions in the SCC shall prevail.

Copies of the GCC are available from the website

<https://www.treasury.gov.za/divisions/ocpo/sc/generalconditions/general%20conditions%20of%20contract.pdf>

### **SPECIAL CONDITIONS THAT THE BIDDER NEEDS TO TAKE NOTE OF:**

#### **1 FRAUD AND CORRUPTION**

- 1.1 All service providers are to take note of the implications of contravening the Prevention and Combating of Corrupt Activities Act, Act No 12 of 2004 and any other Act applicable.

#### **2 NEGOTIATION**

- 2.1 The Financial Intelligence Centre has the right to enter into negotiation with a prospective contractor regarding any terms and conditions, including price(s), of a proposed contract.
- 2.2 The Financial Intelligence Centre shall not be obliged to accept the lowest of any bid, offer or proposal in part or in whole.
- 2.3 All respondents will be informed whether they have been successful or not. A contract will only be deemed to be concluded when reduced to writing in a contract form signed by the designated responsible person of both parties. The designated responsible person of the Financial Intelligence Centre is the Supply Chain Manager or his/her written authorised delegate.

### **3 REASONS FOR REJECTION**

- 3.1 The Financial Intelligence Centre shall reject a proposal for the award of a contract if the recommended bidder/tenderer has committed a proven corrupt or fraudulent act in competing for the particular contract.
- 3.2 The Financial Intelligence Centre may disregard the BID of any bidder/tenderer if that bidder/tenderer, or any of its directors:
  - 3.2.1 Have abused the SCM system of the Financial Intelligence Centre.
  - 3.2.2 Have committed proven fraud or any other improper conduct in relation to such a contract.
  - 3.2.3 Have failed to perform on any previous contract and the proof exists.
- 3.3 Such actions shall be communicated to the National Treasury.

### **4 PAYMENTS**

- The Financial Intelligence Centre (FIC) will pay the service provider the Fee as set out in the final contract. No additional amounts will be payable by the FIC to the Contractor.
- 4.1 The Contractor shall from time to time during the currency of the contract invoice The Financial Intelligence Centre for the services rendered. No payment will be made to the contractor unless an invoice complying with section 20 of the VAT Act No 89 of 1991 has been submitted to the FIC.
  - 4.2 Payment shall be made into the bidder/tenderer's bank account normally 30 days after receipt of an acceptable, valid invoice. (Banking details must be submitted as soon as this BID is awarded).
  - 4.3 The service provider shall be responsible for accounting to the appropriate authorities for its Income Tax, VAT or other amounts of money required to be paid in terms of applicable law.

### **5 PRESENTATION / DEMONSTRATION**

- 5.1 The FIC reserves the right to request site visit/presentations/demonstrations from the short-listed bidder/tenderers if needed.

## **PART D: TERMS OF REFERENCE/MINIMUM SPECIFICATION FOR THE WORK**

### **1 BACKGROUND TO THE FIC**

- 1.1. The Financial Intelligence Centre (FIC) is South Africa's national centre for the receipt of financial data, analysis and dissemination of financial intelligence to the competent authorities.
- 1.2. The FIC was established by the Financial Intelligence Centre Act, 2001 (Act 38 of 2001) and has the mandate to identify the proceeds of crime, combat money laundering and terror financing. It does this by seeking to:
  - Supervise and enforce compliance with the FIC Act
  - Facilitate effective supervision and enforcement by supervisory bodies
  - Receive financial data from accountable and reporting institutions
  - Share information with law enforcement authorities, intelligence services, the South African Revenue Service, international counterparts and supervisory bodies
  - Formulate policy regarding money laundering and the financing of terrorism
  - Provide policy advice to the Minister of Finance, and
  - Uphold the international obligations and commitments required by the country in respect of anti-money laundering and combating financing of terrorism (AML/CFT).
- 1.3. The FIC Act introduces a regulatory framework of measures requiring certain categories of business to take steps regarding client identification, record-keeping, reporting of information and internal compliance structures. The Act obliges all businesses to report to the FIC various suspicious and certain other transactions. The FIC uses this financial data and available data to develop financial intelligence, which it is able to make available to the competent authorities and supervisory bodies for follow-up investigations or administrative action.
- 1.4. All accountable and reporting institutions are required to register with the FIC. The FIC and supervisory bodies have the authority to inspect and impose administrative penalties on non-compliant businesses. The Act also introduced an appeal process and an appeal board.
- 1.5. South Africa is a member of the Financial Action Task Force, the international body which sets standards and policy on anti-money laundering and for combating the financing of terrorism (AML/CFT). In addition, it is also a member of the Eastern and Southern Africa Anti-Money Laundering Group, a regional body of the FATF which aims to support countries in the region to implement the global AML/CFT standards.
- 1.6. The FIC is a member of the Egmont Group, which is made up of financial intelligence units from 166 countries. The primary aim of the organisation is to facilitate co-operation and sharing of financial intelligence information among its members.

## **2 BACKGROUND TO THE REQUIREMENT**

- 2.1 The Public Finance Management Act, No. 1 of 1999, (PFMA) as amended, requires the establishment of an effective internal audit function under the control and direction of the Audit and Risk Committee (Section 51(1) (a) (ii)). The FIC wishes to outsource this function by appointing an appropriate IASP to provide this function.

## **3 OBJECTIVE**

- 3.1. The objective of this bid is to appoint a suitable independent internal audit service provider (IASP) that can perform the required internal audit services in support of the FIC Management and Accounting Authority (AA).

## **4 CONDUCT OF THE WORK**

- 4.1 The IASP will be required to work at FIC offices located in Centurion and Cape Town.  
4.2 FIC will provide office space for the IASP as required.

## **5 DURATION OF THE CONTRACT**

- 5.1 The duration of the contract is for five (05) years commencing 01 July 2023, subject to an annual renewal review.

## **6 ROLE AND OBJECTIVES OF INTERNAL AUDIT**

- 6.1 In terms of the PFMA, the FIC should have an effective internal audit function, which should comply with the requirements of the PFMA, TR and other relevant legislation, as well as the Institute of Internal Auditors (IIA) standards.
- 6.2 Internal audit function plays an important role in evaluating the adequacy and effectiveness of the internal control systems, and contributes to the ongoing effectiveness of risk management, control and governance processes.
- 6.3 The IASP should assist the (AA) in maintaining effective controls and evaluating those controls to determine their effectiveness and efficiency, thereby developing recommendations for enhancement or improvements.
- 6.4 The IASP should assist FIC to accomplish its objectives by developing recommendations for enhancement or improvement of the internal control processes.
- 6.5 The internal audit IASP shall report directly to the Executive Manager: Corporate Services (administratively) and to the Audit and Risk Committee (functionally).
- 6.6 The IASP is responsible for developing and maintaining a three-year rolling internal audit Plan as approved by the Audit and Risk Committee and an annual internal audit plan, based on the risks identified during the risk identification process by management. These plans shall conform to the IIA Standards. The IASP shall attend and submit relevant

reports to all the Audit and Risk Committee and other ad-hoc meetings as and when required.

6.7 The IASP should co-ordinate with other internal and external assurance providers to ensure proper coverage and minimisation of duplication.

6.8 The IASP should review and when required, update the Internal Audit Charter (the Charter) on an annual basis for approval by the Audit and Risk Committee. The Charter should comply with the requirements of the PFMA and the IIA Standards as a minimum.

## **7 ORGANISATIONAL STATUS OF INTERNAL AUDIT**

7.1 FIC internal audit IASP function reports directly to the Audit and Risk Committee and administratively to the Executive Manager: Corporate Services with no limitation on its access to information.

7.2 The purpose, authority and responsibility of the internal audit function are formally defined in the Internal Audit Charter and are consistent with the Institute of Internal Auditors ("IIA") definition of internal auditing.

7.3 The Charter clarifies the purposes of the IASP function, specify the unrestricted scope of its work, and declares that the Internal Auditors shall not be involved in any operational work.

7.4 A three year rolling internal audit Plan shall be formally approved by the Audit and Risk Committee and an annual internal audit plan shall be prepared based on the risks identified during the risk identification process by management.

## **8 SCOPE OF INTERNAL AUDIT**

8.1 The internal audits shall be conducted in accordance with the International Standards for the Professional Practices of Internal Auditing (ISPPIA) and Code of Ethics set by the Institute of Internal Auditors ("IIA").

8.2 The scope of the IASP should include at least the under-mentioned. Should any other function be regarded as imperative by the bidder, the function(s) shall be offered and clearly defined.

8.3 The IASP must, in consultation with the Audit and Risk Committee, prepare:

- a) A rolling three-year strategic internal Audit Plan based on its assessment of key areas of risk for the FIC, having regard to its current operations, the operations proposed in its strategic plan and its risk management strategy.
- b) An annual internal Audit Plan.
- c) Plans indicating the scope, cost and timelines of each audit in the annual internal audit plan, and

- d) Audit reports directed to the Audit and Risk Committee detailing its performance against the plan, to allow effective monitoring and intervention when necessary.
- 8.4 The IASP must co-ordinate with other internal and external assurance providers to ensure proper coverage and to minimise duplication of effort.
- 8.5 The IASP must assist the AA in maintaining effective and efficient controls by evaluating and developing recommendations to ensure enhancement or improvement of the internal control processes.
- 8.6 The IASP must assist the AA in achieving the objectives of the FIC by evaluating and developing recommendations for the enhancement or improvement of the processes through which:
- a) The accomplishment of objectives is monitored.
  - b) Accountability is ensured.
  - c) The adequacy and effectiveness of the system of internal controls are reviewed and appraised.
  - d) The relevance, reliability and integrity of management, financial and operating data and reports are appraised.
  - e) Systems established to ensure compliance with policies, plans, procedures, statutory requirements and regulations, which could have a significant impact on operations are reviewed.
  - f) The means of safeguarding assets are reviewed and, as appropriate, verifying the existence of such assets.
  - g) The economy, efficiency and effectiveness with which resources are employed, are appraised.
  - h) The results of operation or programmes are reviewed to ascertain whether results are consistent with the FIC established objectives and goals whether the operations or programmes are being carried out as planned.
  - i) The adequacy of established systems and procedures are assessed.
  - j) Audit findings are consolidated, followed-up and reported on regular basis.
- 8.7 The audits that will need to be taken into account at FIC, are amongst others but not limited to:
- a) Information and Communications Technology security and systems processes audit.
  - b) Conducting special assignments and investigations on behalf of the Audit and Risk Committee or AA into any matter or activity affecting the probity, interest and operating efficiency of FIC as and when required.
  - c) Performance audits, and
  - d) Audits designed to detect fraud.

## 8.8 Fraud and irregularities

- a) IASP should indicate the process they propose to follow should they receive a request to conduct special assignments and investigations on behalf of the Audit and Risk Committee or the AA into any matter or activity affecting the probity, interest and operating efficiency of the Financial Intelligence Centre.
- b) The IASP must apply due professional care and professionalism during the performance of audits to identify serious defects in the internal controls, which might result in possible malpractices. Any such defects must be reported immediately to the AA and/or the Audit and Risk Committee, without disclosing these to any other employee of the FIC. This also applies to instances where serious fraud and irregularity is uncovered.
- c) The IASP should also make their Anti-Corruption/Fraud Reporting Hotline services available for the duration of this contract.

## 9 **EXPECTED OUTCOMES AND DELIVERABLES**

### 9.1 Performing special audit assignments

Each assignment should at least consist of the following:

- a) Minutes of entrance meeting
- b) Scope of the audit
- c) System description(s)
- d) Risk assessment document
- e) Audit programme(s)
- f) Sampling methodology
- g) Rating of findings
- h) Sources of information
- i) Record of work performed
- j) Mechanisms for follow-up on matters previously reported and feedback to the Audit and Risk Committee
- k) Mechanism to ensure that working papers are reviewed at the appropriate level
- l) Audit finding and recommendations (detailed and summary findings)
- m) Reporting (draft internal audit report and final internal audit report)
- n) Follow-up of previous audit findings.

### 9.2 Assistance requirements

The IASP may be required to provide assistance with the following:

- a) Risk Management
- b) Business Continuity plan
- c) Policies and procedures
- d) Conducting workshops on the changes of Corporate Governance and Internal Audit standards.

## **10 INTERNAL AUDIT REPORTS**

10.1 The IASP will prepare and distribute audit reports based on the outcome of their audits, to the Audit and Risk Committee, AA, the Chief Financial Officer, and to members of management and/or the Executive Committee. Audit reports to present (to include, but not limited to):

- a) Status of accomplishment of goals and objectives.
- b) Status of progress toward completing audit plan.
- c) Summary of audits completed.
- d) Audits in progress.
- e) Summary of results of significant audits.
- f) Summary of significant deficiencies disclosed.
- g) Follow-up reports on status of corrective action.
- h) Summary of non-actioned audit deficiencies by management.
- i) Ad-hoc requests by management.

## **11 QUALITY ASSURANCE REVIEWS OF THE WORK**

The IASP shall ensure that all work conforms to the Standards for the Professional Practice of the Institute of Internal Auditing (IIA).

## **12 MONITORING PROGRESS OF ASSIGNMENTS**

12.1 On completion of each assignment, the IASP shall distribute the reports to the Audit and Risk Committee and the AA.

12.2 The IASP shall prepare a report to the AA on the progress with the work to be presented at the relevant Audit and Risk Committee on progress against the plan, significant findings and administrative matters.

## **13 INDEPENDENCE AND OBJECTIVITY OF AUDIT STAFF**

In carrying out the work, the appointed IASP must ensure that their staff maintain their objectivity by remaining independent of the activities they audit.

## **14 COMPETENCY AND EXPERTISE REQUIREMENTS**

14.1 Firms must be registered in terms of the Registered Accountants and Auditors Act, Act 80 of 1991 (PAAB); South African Institute of Chartered Accountants and of the Institute for Internal Auditors (IIA) or the Institute of Public Finance and Auditing (IPFA).

14.2 Firms must have a dedicated Internal Audit business unit and dedicated internal audit staff of which the staff within the unit are registered members of the IIA. The core management team proposed for this assignment should at least have a CA (SA) or related professional qualification, e.g. CIA, CISA etc.

14.3 It is essential that the preferred IASP have extensive knowledge and experience of internal audit in a public entity.

- 14.4 Bidders should indicate their current and previous involvement and knowledge of the FIC and the sector within which the FIC operates.
- 14.5 Bidders should submit an extensive list of their current and past internal audit experience in the public sector and the list should also include public entities.
- 14.6 Bidders should submit contactable references of at least five (5) past and current clients respectively.

## 15 TECHNICAL QUESTIONS

Any technical questions regarding the above requirement can be forwarded to [Tenders@fic.gov.za](mailto:Tenders@fic.gov.za).

## PART E: EVALUATION PROCESS

### 16 EVALUATION PROCESS

#### Compliance with minimum requirements and response requirements

- 16.1 All bids duly lodged will be examined to determine compliance with quotation requirements and conditions. Bids with obvious deviations from the requirements/ conditions will be eliminated from further evaluation.
- 16.2 Pre-selection
- Supply Chain Management business unit will do **pre-selection** on the following requirements:

| No. | Item                       | Mandatory Requirement                                                                                                                                                                                                                                                    |
|-----|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.  | Central Supplier Database  | Bidders must be registered on the Central Supplier Database (CSD) that can be accessed via National Treasury Website – <a href="http://www.csd.gov.za">www.csd.gov.za</a> prior to submitting a bid.                                                                     |
| 2.  | Standard Bidding Documents | Standard Bidding Documents must be fully completed and signed where required.                                                                                                                                                                                            |
| 3.  | Certification              | Proof of registration with the Institute of Internal Auditors (IIA), and/or South African Institute of Chartered Accountants (SAICA) by the Engagement Partner or Partner; and Proof of registration with ISACA for IT Audit for the Partner or Relevant Senior manager. |

#### Note:

- a) A bidder/tenderer who fails to comply with **mandatory** requirements No **1, 2, and 3** will be disqualified from the evaluation process.

**17 FUNCTIONALITY AND PREFERENCE POINTS SYSTEM (PRICE AND B-BBEE)**

17.1 All remaining bids which have complied with the pre-selection criteria will be evaluated as follows:

17.1.1 Functionality will be done in terms of the evaluation criteria as set out below, whereby respondents who do not achieve the minimum score will be eliminated.

17.1.2 The minimum threshold to qualify for the next phase is 75%. Bidders who fail to meet the minimum threshold will be disqualified and will not be evaluated further for price and B-BBEE status level of contribution.

17.1.3 The table below explains the rating guideline for the evaluation of functionality criteria.

| No           | Criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Weight     |
|--------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|
| 1            | <u>Sector/ Industry knowledge</u><br>Bidder is to demonstrate current and previous involvement or knowledge of the sector within which the FIC operates.<br>(Information to be presented in the company profile)                                                                                                                                                                                                                                                                                                                                                                                            | 10         |
| 2            | <u>Firm's Audit Skills and Tools</u><br>The firm's internal audit services experience in the public sector, including specialised skills, expertise and value-added services<br>a) Specialised skills and expertise and value- added services in the field of internal audit, tools and technology used.<br>b) Availability of forensic audit skills and tools.<br>c) Availability of IT and cyber security audit skills and tools.                                                                                                                                                                         | 40         |
| 3            | <u>List of current and previous internal audit experience</u><br>A list of current and past internal audit experience in the public sector and the list must also include public entities.<br><br>Experience in the auditing of public sector, with contactable references of at least five (5) past and current clients within the past five (5) years.<br>a) Name of organisation<br>b) Name of contact person<br>c) Telephone number<br>d) E-mail address<br>e) Period of contract<br>(See and complete annexure A)                                                                                      | 20         |
| 4            | <u>Qualifications and experience of the professionals proposed to provide the services</u><br>(Qualification and experiences of proposed resources to be provided).<br>a) The individuals assigned to the FIC account must be enrolled with relevant professional institutions (proof of current registrations to be attached). ISACA IT Risk/Security certification to be attached for relevant individuals.<br>b) Detailed CVs of the Engagement Partner or Partner or Senior manager who will be responsible for managing the internal audits and the person who will be signing the audit plan reports. | 30         |
| <b>TOTAL</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>100</b> |

#### 17.1.4 Table below explains the rating guideline for the evaluation:

| No | Project Approach Definition - Describe implementation approach.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Points = 0 | Points = 1                                                                                                              | Points = 2                                                                                                                        | Points = 3                                                                                                                 | Points = 4                                                                                                                 | Points = 5                                                                                                                                  |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| 1  | <u>Sector/ Industry knowledge</u><br>Bidder is to demonstrate current and previous involvement or knowledge of the sector within which the FIC operates.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | N/A        | Limited involvement or knowledge of the sector within which the FIC operates.                                           | Demonstration of more than 3 years but less than 5 years of involvement or knowledge of the sector within which the FIC operates. | Demonstration of over 5 years involvement or knowledge of the sector within which the FIC operates.                        | Demonstration of over 10 years involvement or knowledge of the sector within which the FIC operates.                       | Demonstration of over 15 years involvement or knowledge of the sector within which the FIC operates.                                        |
| 2  | <u>Firm's Audit Skills and Tools</u><br>The firm's internal audit services experience in the public sector, including specialised skills, expertise and value-added services<br>a) Specialised skills and expertise and value- added services in the field of internal audit, tools and technology used.<br>b) Availability of forensic audit skills and tools.<br>c) Availability of IT and cyber security audit skills and tools.                                                                                                                                                                                                                                                                                                                         | N/A        | No clear indication of skills, tools, technology and cyber security skills used for specialised services.               | N/A                                                                                                                               | N/A                                                                                                                        | N/A                                                                                                                        | Proposal demonstrates audit skills and tools available to use for forensic audit, demonstrated technologies and cyber security skills used. |
| 3  | <u>List of current and previous internal audit experience</u><br>A list of current and past internal audit experience in the public sector and the list must also include public entities.<br>Experience in the auditing of public sector, with contactable references of at least five (5) past and current clients within the past five (5) years.<br>(See and complete annexure A)                                                                                                                                                                                                                                                                                                                                                                       | N/A        | List of at least 5 public sector references of which 1 is public entity and all the years of service clearly indicated. | List of at least 5 public sector references of which 2 are public entities and all the years of service clearly indicated.        | List of at least 5 public sector references of which 3 are public entities and all the years of service clearly indicated. | List of at least 5 public sector references of which 4 are public entities and all the years of service clearly indicated. | List of at least 5 public sector references of which 5 are public entities and all the years of service clearly indicated.                  |
| 4  | <u>Qualifications and experience of the professionals proposed to provide the services</u><br>Assessment of condensed curricula vitae of personnel who will be assigned to the FIC's account.<br>(Qualification and experiences of proposed resources to be provided).<br>a) The individuals (exception of trainee auditors) assigned to the FIC account must be enrolled with relevant professional institutions (proof of current registrations to be attached).<br>ISACA IT Risk/Security certification to be attached for relevant individuals)<br>b) Detailed CVs of the Engagement Partner or Partner or Senior manager auditor/s who will be responsible for managing the internal audits and the person who will be signing the audit plan reports. | N/A        | N/A                                                                                                                     | N/A                                                                                                                               | N/A                                                                                                                        | N/A                                                                                                                        | All the expectations in terms of a and b are provided.                                                                                      |

- 17.1.5 Where the rating guideline above does not provide for the information provided by the bidder, the evaluator reserves the right to allocate closest or any score as he/she sees fit.
- 17.1.6 The evaluation criteria and weights for functionality as indicated in the table above will apply.
- 17.1.7 Only qualifying quotations will be evaluated further in terms of the **80/20** preference points system, whereby 80 points will be for price only and 20 points for preference points based on specific goals as set out in the preference point claim form.
- a) The percentage scored for price shall be calculated as follows:
- b) A maximum of 80 points is allocated for price on the following basis:

#### **80/20**

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

Where

$P_s$  = Points scored for price of quotation under consideration

$P_t$  = Rand value of quotation under consideration

$P_{\min}$  = Rand value of lowest acceptable quotation

#### **17.1.8 Awarding of points for broad-based black economic empowerment (B-BBEE) status level of contribution**

- a) Preference points for B-BBEE status level of contribution will be awarded according to the table indicated in the preference points claim form.

### **18 ADJUDICATION**

- 18.1 The relevant award structure will consider the recommendations and make the final award. The successful respondent will usually be the service provider scoring the highest number of points or it may be a lower scoring provider on justifiable grounds or no award at all.

### **19 VALIDITY PERIOD**

- 19.1 Validity period from date of closure is 90 days.
- 19.2 Tenderers must hold their tenders valid for acceptance by the FIC at any time within the requested validity period after the closing date of the tender.

- 19.3 Tenderers may be requested to extend their validity period for a specified additional period. In such instances, tenderers will not be allowed to change any aspect of their tender, unless they are able to demonstrate that the proposed change(s) is as a direct and unavoidable consequence of FIC's extension of the validity period.

PART F: PRICING SCHEDULE

20 FINANCIAL PROPOSAL/PRICING SCHEDULE

- 20.1 The below table should be used to stipulate the costing of the solution.
- 20.2 Bidders should indicate the hourly rate per level of employee that is estimated to be utilised during the contract period.  
Financial proposals will be compared on the basis of hourly rates.
- 20.3 Bidders must indicate the hourly rate (inclusive of overheads and VAT) for each level that will participate in the audits.
- 20.4 Firms are required to submit a table of hourly rates as per the table below. If a particular category does not exist for the firm, it can be omitted.

| Item (where applicable)           | Hourly Rate (including overheads and VAT) |
|-----------------------------------|-------------------------------------------|
| Engagement Partner                | R                                         |
| Partner                           | R                                         |
| Senior Manager                    | R                                         |
| Manager                           | R                                         |
| Assistant Manager                 | R                                         |
| Supervisor                        | R                                         |
| Senior Auditor                    | R                                         |
| Trainee Auditor                   | R                                         |
| Specialists (e.g. tax, technical) | R                                         |
| IT Auditor                        | R                                         |

- 20.5 Are the rates quoted firm for the full period of contract? YES/NO
- 20.5.1 If not firm for the full period, provide details of the basis on which adjustments will be applied for years 2-5, for example consumer price index.
- .....
- .....
- .....
- .....
- 20.6 The FIC will allocate estimated man hours to determine a ceiling price for the five-year contract period. This ceiling price will be used for evaluation purposes only.

20.7 Disbursements will be calculated at the following rates:

20.7.1 Travel cost – at the tax free SARS rate

20.7.2 Vehicle hire – to be approved as and when required

20.7.3 Air travel – to be arranged by the FIC

20.7.4 Accommodation – to be arranged by the FIC

20.8 The nature and number of audits to be conducted on an annual basis will be decided when compiling the annual internal audit plan and the above indicated rates will be used to calculate the IASP's budget for the specific year.

## 21 ANNEXURE A – Track Record

List of current and past internal audit experience in the public sector and the list should also include public entities.

Experience in the auditing of public entities, with contactable references of at least five (5) past and current clients within the past five (5) years

| Name of Organisation | Contact Person | Contact Number | Email Address | Period of Contract |
|----------------------|----------------|----------------|---------------|--------------------|
| 1.                   |                |                |               |                    |
| 2.                   |                |                |               |                    |
| 3.                   |                |                |               |                    |
| 4.                   |                |                |               |                    |
| 5.                   |                |                |               |                    |

## PART G: STANDARD BIDDING DOCUMENTS (OVERLEAF)

## BIDDER'S DISCLOSURE

### 1. PURPOSE OF THE FORM

Any person (natural or juristic) may make an offer or offers in terms of this invitation to bid. In line with the principles of transparency, accountability, impartiality, and ethics as enshrined in the Constitution of the Republic of South Africa and further expressed in various pieces of legislation, it is required for the bidder to make this declaration in respect of the details required hereunder.

Where a person/s are listed in the Register for Tender Defaulters and / or the List of Restricted Suppliers, that person will automatically be disqualified from the bid process.

### 2. Bidder's declaration

- 2.1 Is the bidder, or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest<sup>1</sup> in the enterprise, employed by the state? **YES/NO**

- 2.1.1 If so, furnish particulars of the names, individual identity numbers, and, if applicable, state employee numbers of sole proprietor/ directors / trustees / shareholders / members/ partners or any person having a controlling interest in the enterprise, in table below.

| Full Name | Identity Number | Name of State institution |
|-----------|-----------------|---------------------------|
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |
|           |                 |                           |

- 2.2 Do you, or any person connected with the bidder, have a relationship

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<sup>1</sup> the power, by one person or a group of persons holding the majority of the equity of an enterprise, alternatively, the person/s having the deciding vote or power to influence or to direct the course and decisions of the enterprise.

with any person who is employed by the procuring institution? **YES/NO**

2.2.1 If so, furnish particulars:

.....  
 .....

2.3 Does the bidder or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest in the enterprise have any interest in any other related enterprise whether or not they are bidding for this contract? **YES/NO**

2.3.1 If so, furnish particulars:

.....  
 .....

### **3 DECLARATION**

I, \_\_\_\_\_ the \_\_\_\_\_ undersigned,  
 (name)..... in  
 submitting the accompanying bid, do hereby make the following  
 statements that I certify to be true and complete in every respect:

- 3.1 I have read and I understand the contents of this disclosure;
- 3.2 I understand that the accompanying bid will be disqualified if this disclosure is found not to be true and complete in every respect;
- 3.3 The bidder has arrived at the accompanying bid independently from, and without consultation, communication, agreement or arrangement with any competitor. However, communication between partners in a joint venture or consortium<sup>2</sup> will not be construed as collusive bidding.
- 3.4 In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications, prices, including methods, factors or formulas used to calculate prices, market allocation, the intention or decision to submit or not to submit the bid, bidding with the intention not to win the bid and conditions or delivery particulars of the products or services to which this bid invitation relates.
- 3.4 The terms of the accompanying bid have not been, and will not be, disclosed by the bidder, directly or indirectly, to any competitor, prior to the date and time of the official bid opening or of the awarding of the contract.
- 3.5 There have been no consultations, communications, agreements or arrangements made by the bidder with any official of the procuring

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<sup>2</sup> Joint venture or Consortium means an association of persons for the purpose of combining their expertise, property, capital, efforts, skill and knowledge in an activity for the execution of a contract.

institution in relation to this procurement process prior to and during the bidding process except to provide clarification on the bid submitted where so required by the institution; and the bidder was not involved in the drafting of the specifications or terms of reference for this bid.

- 3.6 I am aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to bids and contracts, bids that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and or may be reported to the National Prosecuting Authority (NPA) for criminal investigation and or may be restricted from conducting business with the public sector for a period not exceeding ten (10) years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.

I CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS 1, 2 and 3 ABOVE IS CORRECT.

I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME IN TERMS OF PARAGRAPH 6 OF PFMA SCM INSTRUCTION 03 OF 2021/22 ON PREVENTING AND COMBATING ABUSE IN THE SUPPLY CHAIN MANAGEMENT SYSTEM SHOULD THIS DECLARATION PROVE TO BE FALSE.

|           |                |
|-----------|----------------|
| .....     | .....          |
| Signature | Date           |
| .....     | .....          |
| Position  | Name of bidder |

## PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL PROCUREMENT REGULATIONS 2022

This preference form must form part of all tenders invited. It contains general information and serves as a claim form for preference points for specific goals.

**NB: BEFORE COMPLETING THIS FORM, TENDERERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF THE TENDER AND PREFERENTIAL PROCUREMENT REGULATIONS, 2022**

### 1. GENERAL CONDITIONS

- 1.1 The following preference point system is applicable to invitations to this tender:
- the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included);

1.2 **To be completed by the organ of state**

- a) The applicable preference point system for this tender is the **80/20** preference point system.

- 1.3 Points for this shall be awarded for:

- (a) Price; and
- (b) Specific Goals.

- 1.4 The maximum points for this tender are allocated as follows:

|                                                  | POINTS     |
|--------------------------------------------------|------------|
| PRICE                                            | 80         |
| SPECIFIC GOALS                                   | 20         |
| <b>Total points for Price and SPECIFIC GOALS</b> | <b>100</b> |

- 1.5 Failure on the part of a tenderer to submit proof or documentation required in terms of this tender to claim points for specific goals with the tender, will be interpreted to mean that preference points for specific goals are not claimed.

- 1.6 The FIC requires of a tenderer to substantiate any claim in regards to preferences, by submitting their current/valid B-BBEE certificate or a sworn affidavit as prescribed by the B-BBEE codes of good practice.

## 2. DEFINITIONS

- (a) “**tender**” means a written offer in the form determined by an organ of state in response to an invitation to provide goods or services through price quotations, competitive tendering process or any other method envisaged in legislation;
- (b) “**price**” means an amount of money tendered for goods or services, and includes all applicable taxes less all unconditional discounts;
- (c) “**Rand value**” means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;
- (d) “**The Act**” means the Preferential Procurement Policy Framework Act, 2000 (Act No. 5 of 2000).

## 3. FORMULAE FOR PROCUREMENT OF GOODS AND SERVICES

### 3.1. POINTS AWARDED FOR PRICE

#### 3.1.1 THE 80/20 PREFERENCE POINT SYSTEMS

A maximum of 80/20 points is allocated for price on the following basis:

**80/20**

$$Ps = 80 \left( 1 - \frac{Pt - Pmin}{Pmin} \right)$$

Where

- Ps = Points scored for price of tender under consideration
- Pt = Price of tender under consideration
- Pmin = Price of lowest acceptable tender

## 4. POINTS AWARDED FOR SPECIFIC GOALS

- 4.1. In terms of Regulation 4(2); 5(2); 6(2) and 7(2) of the Preferential Procurement Regulations 2022, preference points must be awarded for specific goals stated in the tender. For the purposes of this tender the tenderer will be allocated points based on the goals stated in table 1 below that shall be supported by proof / documentation as stated in the conditions of this tender:

**Table 1: Specific goals for the tender and points claimed are indicated per the table below.**

**Note to tenderers: The tenderer must indicate how they claim points for each preference point system.)**

| The specific goals allocated points in terms of this tender                          | Number of points allocated (80/20 system)<br>(To be completed by the organ of state) | Number of points claimed (80/20 system)<br>(To be completed by the tenderer) |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|------------------------------------------------------------------------------|
| The B-BBEE Certificate is used as a measurement instrument for FIC's specific goals: | 20 Maximum                                                                           |                                                                              |
| B-BBEE Status level of contributor: 1                                                | 20                                                                                   |                                                                              |
| B-BBEE Status level of contributor: 2                                                | 18                                                                                   |                                                                              |
| B-BBEE Status level of contributor: 3                                                | 14                                                                                   |                                                                              |
| B-BBEE Status level of contributor: 4                                                | 7                                                                                    |                                                                              |
| B-BBEE Status level of contributor: 5                                                | 4                                                                                    |                                                                              |
| B-BBEE Status level of contributor: 6                                                | 2                                                                                    |                                                                              |
| B-BBEE Status level 7 – 8 and non-compliant contributors                             | 0                                                                                    |                                                                              |

#### **DECLARATION WITH REGARD TO COMPANY/FIRM**

4.2. Name of company/firm.....

4.3. Company registration number: .....

4.4. TYPE OF COMPANY/ FIRM

- ☐ Partnership/Joint Venture / Consortium
- ☐ One-person business/sole propriety
- ☐ Close corporation
- ☐ Public Company
- ☐ Personal Liability Company
- ☐ (Pty) Limited
- ☐ Non-Profit Company
- ☐ State Owned Company

[TICK APPLICABLE BOX]

4.5. I, the undersigned, who is duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the specific goals as advised in the tender, qualifies the company/ firm for the preference(s) shown and I acknowledge that:

- i) The information furnished is true and correct;
- ii) The preference points claimed are in accordance with the General Conditions as indicated in paragraph 1 of this form;
- iii) In the event of a contract being awarded as a result of points claimed as shown in paragraphs 1.4 and 4.2, the contractor may be required to furnish documentary proof to the satisfaction of the organ of state that the claims are correct;
- iv) If the specific goals have been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the organ of state may, in addition to any other remedy it may have –
  - (a) disqualify the person from the tendering process;
  - (b) recover costs, losses or damages it has incurred or suffered as a result of that person's conduct;
  - (c) cancel the contract and claim any damages which it has suffered as a result of having to make less favourable arrangements due to such cancellation;
  - (d) recommend that the tenderer or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted from obtaining business from any organ of state for a period not exceeding 10 years, after the *audi alteram partem* (hear the other side) rule has been applied; and
  - (e) forward the matter for criminal prosecution, if deemed necessary.

|                                    |       |
|------------------------------------|-------|
| .....                              |       |
| <b>SIGNATURE(S) OF TENDERER(S)</b> |       |
| <b>SURNAME AND NAME:</b>           | ..... |
| <b>DATE:</b>                       | ..... |
| <b>ADDRESS:</b>                    | ..... |
|                                    | ..... |
|                                    | ..... |
|                                    | ..... |