

## NATIONAL LOTTERIES COMMISSION

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### REQUEST FOR PROPOSALS FOR THE APPOINTMENT OF AN INSURANCE BROKER FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE YEARS

| BID PROCESS                                                                                   | BID REQUIREMENTS                                                                                                                                                                                                                                                                                      |
|-----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tender number                                                                                 | NLC/2022 - 09                                                                                                                                                                                                                                                                                         |
| Bid Advertisement Date                                                                        | 31 May 2022                                                                                                                                                                                                                                                                                           |
| Closing date and time                                                                         | 30 June 2022 at 11:00<br>(South African Standard Time)                                                                                                                                                                                                                                                |
| Tender validity period                                                                        | 120 business working days <i>from the closing date</i>                                                                                                                                                                                                                                                |
| Compulsory Briefing Session                                                                   | No compulsory briefing session                                                                                                                                                                                                                                                                        |
| Tenders are to be delivered to the following address on the stipulated closing date and time: | <p>The bid document must be submitted via USB and handed in / delivered to:</p> <p>The Senior Manager: Supply Chain<br/>National Lotteries Commission<br/>333 Grosvenor Street<br/>Block D, Hatfield Gardens<br/>Hatfield, Pretoria<br/>0083</p> <p><b>Only USB submissions will be accepted.</b></p> |

## Contents

| <b>Section No</b>                                                   | <b>Page</b> |
|---------------------------------------------------------------------|-------------|
| SECTION 1: BACKGROUND, OVERVIEW AND RFP SCOPE OF REQUIREMENTS ..... | 3           |
| 1. INTRODUCTION .....                                               | 3           |
| 2. BACKGROUND.....                                                  | 3           |
| 3. RFP SCOPE OF REQUIREMENTS.....                                   | 4           |
| 4. REPORTING REQUIREMENTS .....                                     | 5           |
| 5. DURATION OF THE PROJECT.....                                     | 6           |
| SECTION 2: NOTICE TO BIDDERS.....                                   | 6           |
| 1. TERMS AND CONDITIONS OF REQUEST FOR PROPOSALS (RFP) .....        | 6           |
| 2. GENERAL RULES AND INSTRUCTIONS .....                             | 6           |
| 3. FORMAL BRIEFING SESSION .....                                    | 9           |
| 4. VALIDITY PERIOD.....                                             | 9           |
| 5. NATIONAL TREASURY'S CENTRAL SUPPLIER DATABASE .....              | 9           |
| 6. CONFIDENTIALITY.....                                             | 9           |
| 7. COMMUNICATION.....                                               | 9           |
| SECTION 3: EVALUATION CRITERIA.....                                 | 10          |

## **RFP FOR INSURANCE BROKER**

### **REQUEST FOR PROPOSALS FOR THE APPOINTMENT OF AN INSURANCE BROKER FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE YEARS**

#### **SECTION 1: BACKGROUND, OVERVIEW AND RFP SCOPE OF REQUIREMENTS**

##### **1. INTRODUCTION**

The National Lotteries Commission (The Commission) is a public entity established by Lotteries Act No. 57 of 1997, as amended to regulate the South African lotteries industry. The functions of the Commission can be divided into two categories, namely “regulation of National Lottery and other Lotteries” and “administration of the National Lottery Distribution Trust Fund (NLDTF)”.

The Distributing Agencies (DA’s) who are appointed by the Minister of Trade & Industry are responsible for the adjudication of the funding applications as per the Lotteries Act and applicable Regulations.

##### **2. BACKGROUND**

In terms of the South African constitution and the Occupational Health and Safety Act, Act 85 of 1993, The National Lotteries Commission is required to ensure that there’s a healthy and safe working places environment for its employees.

The NLC currently operates across all nine provinces and has property, plant and equipment in all the provinces. In line with the requirements of the Public Finance Management Act (PFMA) No. 1 of 1999, as amended and Treasury Regulations, the NLC invites suitably qualified and experienced service providers to submit proposals to provide insurance broking services for the NLC.

### **3. PURPOSE OF THE TERMS OF REFERENCE**

The purpose of the terms of reference (TOR) is to appoint a suitably qualified and reputable service provider to provide insurance broking and claims services to the NLC for a period of three (3) years.

### **4. OBJECTIVES**

The primary objective of the services required is to provide NLC with insurance broking services which will ensure that NLC receives comprehensive insurance from a professional, experienced and reliable insurance companies at cost-effective rates.

### **5. THE SCOPE OF WORK**

- Provision of advice and consultation on insurance matters. This will include ensuring that the NLC is not under or over insured;
- Handling of NLC insurance claims with the insurance company.
- Annual risk survey's at Brokers cost;
- Keep NLC up to date with relevant insurance legislations;
- Sourcing of directors' liability insurance; and
- Annual valuation of NLC artwork.
- The Insurance Broker must provide insurance proposals from insurers on annual basis.
- Assess the financial soundness of the proposed insurers/underwriters.
- Provide Goods in Transit cover as the NLC is in the process of relocating three provincial offices to permanent location.

### **6. RFP SCOPE OF REQUIREMENTS**

The services will include the following insurance covers:

a. Assets

- i. To cover assets of the NLC and assets that are in the custody of the NLC against loss or damage caused by fire or any threat. Assets include:

1. Furniture and equipment;
2. Computer equipment (i.e. laptops, desktops etc);
3. Office equipment (i.e., printers, scanners etc);
4. Leasehold improvements;
5. Intangible assets; and
6. Land and buildings.

- b. To cover assets in custody of the NLC and those in transit.

- c. Money, a cover on any negotiable instrument including cash cheques, credit card vouchers etc.

- d. The NLC has offices in all 9 provinces which have assets. The NLC owns the office buildings in the provincial offices except for Head Office (Pretoria), and Limpopo (Polokwane). The acquisition process in Limpopo is underway.

e.

The following are the NLC Offices across the country:

| No. | Office       | Address                                                                           |
|-----|--------------|-----------------------------------------------------------------------------------|
| 1   | Head Office  | Block D, Hatfield Gardens<br>Corner Hilda and Arcadia Streets<br>Hatfield<br>0083 |
| 2   | Limpopo      | No 5 Landros Mare Street<br>Polokwane<br>0699                                     |
| 3   | North West   | 12 Visser Street,<br>Mafikeng Industrial,<br>Mafikeng<br>2745                     |
| 4   | Western Cape | 1. Manhattan Place<br>130 Bree Street<br>Cape Town<br>8000                        |

|   |               |                                                                                                                                                          |
|---|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
|   |               | <b>2.</b><br>41391 Bellville,<br>KWMPENVILLE,<br>Cape Town<br>8000                                                                                       |
| 5 | Eastern Cape  | 7 Rochester Road,<br>Vincent,<br>Eastern London<br>5200                                                                                                  |
| 6 | Mpumalanga    | 29 Rood Street,<br>Sonheuwel,<br>Nelspruit<br>1200                                                                                                       |
| 7 | Northern Cape | 11a Schmidtsdrift Road,<br>Kimberley<br>8300                                                                                                             |
| 8 | Free State    | 280/282 Stateway,<br>Bedelia,<br>Welkom<br>9459                                                                                                          |
| 9 | Kwazulu Natal | <b>1.</b> Office 22, Smartxchange Building<br>05 Walnut Road<br>Durban<br>4001<br><b>2.</b><br>174/176 Lilian Ngoyi Road<br>Windermere<br>Durban<br>4001 |

**f. Comprehensive insurance should cover:**

- i. Physical loss or damage to property belonging to NLC or held by NLC for which they are responsible.

- ii. Intangibles (Includes software licences and systems).
- iii. Business All Risk:
  - 1. As per NLC Asset Register;
  - 2. Theft; and
  - 3. Damage to contents, at any building as a result of theft.
- iv. Insured Risk:
  - 1. Public liability;
  - 2. Loss or damage to third party property or injury/death to third parties due to negligence of NLC or its employees; and
  - 3. Employers liability.
- v. Probable events:
  - 1. Errors and Omissions;
  - 2. Personal injury;
  - 3. Spread of Fire; and
  - 4. Natural disasters.
- vi. South African Special Risk Insurance Association (SASRIA)
  - 1. Riot, strike, and political riot.
- vii. Support
  - 1. One-on-one dedicated claims consultant.
- viii. Claims
  - 1. Maximum of thirty (30) calendar days turn-around time for outcome of claim from the date of submission of the claim.

## 1. DELIVERABLES

The deliverables of the insurance broker are:

- a. Sourcing competitive insurance quotes for the NLC;
- b. Claim administration and maintenance;
- c. Ad-hoc adjustments and endorsements on sums insured and declarations to insurers/re-insurers;
- d. Day to day correspondence and queries;
- e. Monitor premium payments and refunds in accordance with accounts and statements;
- f. Preparing reports as required by the NLC; and

- g. Ensuring NLC artwork is valued every year at the request of NLC.

## **2. REPORTING REQUIREMENTS**

The service provider will report to the NLC Finance Division for any matters relating to the insurance.

## **3. DURATION OF THE PROJECT**

The expected duration of the project is three (3) years after the signing of a Service Level Agreement (SLA).

**RFP FOR INSURANCE BROKER**  
**REQUEST FOR PROPOSALS FOR THE APPOINTMENT OF AN INSURANCE BROKER FOR THE**  
**NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE YEARS**

**SECTION 2: NOTICE TO BIDDERS**

**1. Terms and conditions of Request for Proposals (RFP)**

- 1.1 This document may contain confidential information that is the property of the NLC.
- 1.2 No part of the contents may be used, copied, disclosed, or conveyed in whole or in part to any party in any manner whatsoever other than for preparing a proposal in response to this RFP without prior written permission from the NLC.
- 1.3 All copyright and intellectual property herein vests with the NLC.
- 1.4 Late and incomplete submissions will not be accepted.
- 1.5 No services must be rendered, or goods delivered before an official NLC Purchase Order form has been received.
- 1.6 Suppliers are required to register on the Central Supplier Database at [www.csd.gov.za](http://www.csd.gov.za).
- 1.7 Suppliers must provide their CSD registration number (and attach a CSD Summary report) and ensure that their tax matters are compliant.
- 1.8 All questions regarding this RFP must be forwarded to [bids@nlcsa.org.za](mailto:bids@nlcsa.org.za), no later than within three days of the RFP closing date.
- 1.9 Any supplier who has reasons to believe that the RFP specification is based on a specific brand must inform the NLC via the email addressed in 1.9.

**2. General rules and instructions**

- 2.1 News and press releases
  - 2.1.1 Bidders or their agents shall not make any news releases concerning this RFP or the awarding of the same or any resulting agreement(s) without the consent of, and then only in co-ordination with, the NLC.
- 2.2 Precedence of documents
  - 2.2.1 This RFP consists of a number of sections. Where there is a contradiction in terms between the clauses, phrases, words, stipulations or terms and herein referred to generally as stipulations in this RFP and the stipulations in any other document attached hereto, or the RFP submitted hereto, the relevant stipulations in this RFP shall take precedence.
  - 2.2.2 Where this RFP is silent on any matter, the relevant stipulations addressing such matter, and which appear in the PPPFA shall take precedence. Bidders shall refrain from incorporating any additional stipulations in its proposal submitted in terms hereof other than in the form of a clearly marked recommendation that the NLC may in its sole discretion elect to import or to ignore. Any such inclusion shall not be used for any purpose of interpretation unless it has been so imported or acknowledged by the NLC.
  - 2.2.3 It is acknowledged that all stipulations in the PPPFA are not equally applicable to all matters

addressed in this RFP. It, however, remains the exclusive domain and election of the NLC as to which of these stipulations are applicable and to what extent. Bidders are hereby acknowledging that the decision of the NLC in this regard is final and binding. The onus to enquire and obtain clarity in this regard rests with the Bidder(s). The Bidder(s) shall take care to restrict its enquiries in this regard to the most reasonable interpretations required to ensure the necessary consensus.

2.3 Preferential procurement reform

2.4 The NLC supports B-BBEE as an essential ingredient of its business. In accordance with government policy, the NLC insists that the private sector demonstrates its commitment and track record to B-BBEE in the areas of ownership (shareholding), skills transfer, employment equity and procurement practices (SMME Development) etc.

2.5 Bidders must be registered with the central supplier database (CSD) and submit CSD report reflecting tax compliant.

2.6 National Industrial Participation Programme

2.7 The Industrial Participation policy, which was endorsed by Cabinet on 30 April 1997, is applicable to contracts that have an imported content. The NIP is obligatory and therefore must be complied with. Bidders are required to sign and submit the Standard Bidding Document (SBD).

2.8 Language

2.8.1 Bids shall be submitted in English.

2.9 Gender

2.9.1 Any word implying any gender shall be interpreted to imply all other genders.

2.10 Headings

2.10.1 Headings are incorporated into this RFP document and submitted in response thereto, for ease of reference only and shall not form part thereof for any purpose of interpretation or for any other purpose.

2.11 Occupational Injuries and Diseases Act 13 of 1993

2.11.1 The Bidder warrants that all its employees (including the employees of any sub-contractor that may be appointed) are covered in terms of the Compensation for Occupational Injuries and Diseases Act 13 of 1993 and that the cover shall remain in force for the duration of the adjudication of this RFP and/ or subsequent agreement. the NLC reserves the right to request the Bidder to submit documentary proof of the Bidder's registration and "good standing" with the Compensation Fund, or similar proof acceptable to the NLC.

## 2.12 Processing of the Bidder's Personal Information

- 2.12.1 All Personal Information of the Bidder, its employees, representatives, associates and sub-contractors ("Bidder Personal Information") required under this RFP is collected and processed for the purpose of assessing the content of its tender proposal, and awarding the bid. The assessment and award of the bid shall be conducted in accordance with applicable legislation including the PPPFA read with the Preferential Procurement Regulations, 2017. The Bidder is advised that Bidder Personal Information may be passed on to third-parties to whom the NLC is compelled by law to provide such information. For example, where appropriate, the NLC is compelled to submit information to National Treasury's Database of Restricted Suppliers.
- 2.12.2 All Personal Information collected will be processed in accordance with POPIA and with the NLC Data Privacy Policy.
- 2.12.3 The following persons will have access to the Personal Information collected:
  - 2.12.3.1 The NLC personnel participating in procurement/award procedures; and
  - 2.12.3.2 Members of the public: within seven working days from the time the bid is awarded, the following information will have to be made available on National Treasury's e-Tender portal:
    - 2.12.3.2.1 contract description and bid number;
    - 2.12.3.2.2 names of the successful bidder(s) and preference points claimed;
    - 2.12.3.2.3 the contract price(s) (if possible);
    - 2.12.3.2.4 contract period;
    - 2.12.3.2.5 names of directors; and
    - 2.12.3.2.6 date of completion/award.
- 2.12.4 The NLC will ensure that the rights of the Bidder and of its employees and representatives (i.e. the right of access and the right to rectify) are effectively guaranteed in accordance with the procedures as specified in the NLC PAIA manual.
- 2.12.5 In signing this document, the Bidder consents to the use of its Personal Information for the purposes as specified in section 2.9.1 above.

## 3. Formal Briefing Session

There will be no compulsory briefing session.

## 4. Validity Period

- 4.1 The NLC requires a validity period of 120 [one hundred and twenty] Business Days [from closing date] against this RFP.
- 4.2 Bidders are to note that they may be requested to extend the validity period of their bids, on the same terms and conditions, if the internal evaluation process are not finalised within the validity period.

## **5. National Treasury's Central Supplier Database**

- 5.1 Bidders are required to self-register on National Treasury's Central Supplier Database (CSD) which has been established to centrally administer supplier information for all organs of state and facilitate the verification of certain key supplier information.
- 5.2 The NLC may not award business to a bidder who has failed to register on the CSD.
- 5.3 Only foreign suppliers with no local registered entity need not register on the CSD.
- 5.4 The CSD can be accessed at <https://secure.csd.gov.za/>

## **6. Confidentiality**

- 6.1 Bids submitted for this Request for Proposals will not be revealed to any other bidders and will be treated as contractually binding;
- 6.2 The NLC reserves all the rights afforded to it by the POPIA in the processing of any of its information as contained in Bid Proposals.
- 6.3 The Bidder acknowledges that it will obtain and have access to personal information of The NLC and agrees that it shall only process the information disclosed by the NLC in terms of this bid award and only for the purposes as detailed in this RFP and in accordance with any applicable law.
- 6.4 The Bidder shall notify the NLC in writing of any unauthorised access to personal information and the information of a third party, through cybercrimes or suspected cybercrimes, in its knowledge and report such crimes or suspected crimes to the relevant authorities in accordance with applicable laws, after becoming aware of such

## **7. Communication**

- 7.1 Specific queries relating to this RFP should be submitted [bids@nlcsa.org.za](mailto:bids@nlcsa.org.za), before the closing date.
- 7.2 In the interest of fairness and transparency the NLC's response to such a query may be made available to other bidders.
- 7.3 It is prohibited for bidders to attempt, either directly or indirectly, to canvass any officer or employee of the NLC in respect of this RFP between the closing date and the date of the award of the business.
- 7.4 Bidders found to be in collusion with one another will be automatically disqualified and restricted from doing business with organs of state for a specified period.

## RFP FOR INSURANCE BROKER

### REQUEST FOR PROPOSALS FOR THE APPOINTMENT OF AN INSURANCE BROKER FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE (3) YEARS

#### Section 3: EVALUATION CRITERIA

The NLC will evaluate all proposals in terms of the Preferential Procurement Regulation of 2017 and Preferential Procurement Policy Framework Act. No. 5 of 2000 (PPPFA). The six (6) phase evaluation criteria will be considered in evaluating the proposals, being



#### Stage 1 : Tender Closing and Opening

##### 1.1 Tender closing details

The deadline for Tender submission is 30 June 2022 at 11:00am Standard South African Time. Any late tenders will not be accepted. Tenders are to be submitted to the NLC Tender Box at the following physical address:

National Lotteries  
Commission 333 Grosvenor  
Street  
Block D, Hatfield Gardens  
Hatfield, Pretoria  
0083

## 1.2 Bid Formats

Bid submissions must be submitted in a PDF format that is protected from any modifications, deletions, or additions.

Financial/pricing information must be presented in a separate attachment from the Technical/Functional Response information. The onus is on the Bidder to ensure that all mandatory and required documents are included in the electronic submission.

Submissions must be prominently marked with the full details of the tender namely Bidder's Name, Tender No and Tender Title.

Bidders are advised to email electronic submissions at least thirty minutes before the bid closing time to cater for any possible delay in transmission or receipt of the bid. The onus is on bidder to ensure that the bid is submitted on time via email or hand delivery of electronic bid.

Tender submission emails received after submission date and time will be declared late bid submissions and will not be accepted for consideration by the NLC.

The NLC will not be responsible for any failure or delay in the submission or receipt of the USB including but not limited to:

- ☐ Receipt of incomplete bid
- ☐ File size (must not exceed 30mb)
- ☐ Delay in submission of the bid Failure of the
- ☐ Bidder to properly identify the bid Illegibility of
- ☐ the bid; or
- ☐ Security of the bid data.

## Stage 2: Administrative and Mandatory Compliance

### 1. Administrative Compliance

Bidders are required to submit the required documents for administrative compliance.

The Administrative Compliance Evaluation will include the following:

| Evaluation Criteria                                                                                                                                                                                                                                                           | Supporting Document                                                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| 1. Returnable documents (standard bidding documents) and/or schedules were completed, duly signed by the authorized person.                                                                                                                                                   | Bid Proposal; Standard Bidding Document (SBD) Forms & Pricing Schedule |
| 2. Submission of electronic bid document in a form of universal serial bus (USB) will be accepted. Due to COVID 19, no hand delivery of physical documents will be accepted. Only electronic bid documents submitted on/or before the closing date and time will be accepted. | USB submission                                                         |

|                                                                                                                                                          |                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 3. Signed consent form in terms of the Protection of Personal Information Act 4 of 2013 (POPIA) (Consent Forms Attached to the Bid as part of the SBDs). | Signed POPIA Consent Form |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|

## 2. Mandatory Compliance

All bid respondents must submit mandatory documents that comply with all mandatory requirements. Bids that do not fully comply with the mandatory requirements will be disqualified and will not be considered for further evaluation. The Administrative Compliance Evaluation will include the following:

| Evaluation Criteria                                                                                                                                                                                                | Supporting Document                                      |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1. In the event of the bidder being in a joint venture (JV), a signed JV agreement must be submitted (where applicable)                                                                                            | JV Agreement                                             |
| 2. Proof of registration by the bidder with Finance Services Board (FSB). In the event of the bidder being a joint venture (JV), one of the companies in the JV must fully comply with this mandatory requirement. | Please attach a certified certificate of FSB membership. |

## Stage 3: Technical evaluation

The evaluation for the Technical and Functional threshold will include the following:

| Category & Criteria Description    | Weightings (%) | Scoring Matrix (0 to 5) |
|------------------------------------|----------------|-------------------------|
| 1. Company Experience and Capacity | 25%            |                         |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |            |                                                                                                                                                                                                                                                                                                                                                                    |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>1.2 Witten reference letters</b></p> <p>Provide written reference letters for the insurance broking services previously performed from contactable existing / recent clients (public / private sector) within the past 5 years. References should be presented in a form of a written letter on an official letterhead from clients where similar services (insurance broker) have been provided, the date on the letters must not be older than two (2) years and must be signed.</p> <p>Letters must include the company name, contact name, address, phone number, duration of contract, value of the contract, a brief description of the services that was provided.</p> <p><b>No appointment letters from clients will be accepted as reference letters.</b></p> | <p>15%</p> | <ul style="list-style-type: none"> <li>- 2 reference letters for insurance broking services<br/><b>= 0</b></li> <li>- 3 reference letters for insurance broking services<br/><b>= 1</b></li> <li>- 4 reference letters for insurance broking services<br/><b>= 3</b></li> <li>- 5 reference letters and above for insurance broking services <b>= 5</b></li> </ul> |
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|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>1.2. Company profile</b></p> <p>A company profile of not more than 4 pages must be provided. At minimum, the company profile should include the background, nature of business (services), relevant experience of the bidder and organogram of the company.</p> | <p>10%</p> | <ul style="list-style-type: none"> <li>- No information provided OR Incomplete information provided = <b>0</b></li> <li>- Company profile with relevant company experience in insurance broking services for 1 – 5 year with no clients serviced and no relationship with insurance providers = <b>1</b></li> <li>- Company profile with relevant company experience in insurance broking services for 1 – 3 years which include clients serviced and</li> </ul> |
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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                             |            | <p>relationships with the insurance providers = <b>2</b></p> <ul style="list-style-type: none"> <li>- Company profile with relevant company experience in insurance broking services for 3 – 5 years which includes clients serviced and relationships with the insurance providers = <b>3</b></li> <li>- Company profile with relevant company experience in courier services for 5 – 7 years which includes clients serviced and relationships with the insurance providers = <b>4</b></li> <li>- Company profile with relevant experience in insurance services for 7 -10 years and above which includes clients serviced and relationships with the insurance providers = <b>5</b></li> </ul> |
| <b>2. Capacity and experience of the proposed team</b>                                                                                                                                                                                                                                                                                      | <b>25%</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <p>Considers the technical and professional skills of the project team. Abbreviated Curriculum Vitae (CV's) of personnel involved with the implementation of the project, not longer than one page each, shall be included in an Appendix.</p> <p><b>2.1 Key Accounts Manager</b></p> <p>The proposed Accounts Manager must demonstrate</p> | 25%        | <ul style="list-style-type: none"> <li>- No experience = <b>0</b></li> <li>- 1 - 2 years' of experience in insurance brokerage with relevant qualification = <b>1</b></li> <li>- 2 - 3 years' of experience in insurance brokerage with relevant qualification = <b>2</b></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                              |

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|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>experience, valid accreditation as registered insurance sales representative by FSCA and capabilities. The Key Account Manager must have at least five (5) years' experience in the short-term insurance industry. Kindly attach certified copies of relevant qualification/s and Abbreviated Curriculum Vitae (CV) of the Key Accounts Manager involved on the implementation of the project, not longer than one page each, shall be included in an Appendix.</p>                                                                                                                                      |            | <ul style="list-style-type: none"> <li>- 3 – 4 years' experience in insurance brokerage with relevant qualification = <b>3</b></li> <li>- 4 – 5 years of experience in insurance brokerage with relevant qualification = <b>5</b></li> </ul>                                                                                                                                                                                                                                                                |
| <p><b>2.2 Insurance Sales Representative</b></p> <p>Kindly attach certified copies of relevant qualification/s and Abbreviated CV (not longer than one page each) of the Insurance Sales Representative registered as insurance sales representative by FSCA and who will be dealing with claims, detailing the experience and number of years.</p> <ul style="list-style-type: none"> <li>• More than five (5) years' experience = 10 Points</li> <li>• 3 – 5 years' experience = 7 Points</li> <li>• 1 – 2 years' experience = 5 Points</li> <li>• Less than 1 year or No experience = 0 Point</li> </ul> | 10%        | <ul style="list-style-type: none"> <li>- No experience OR Less than 1 year experience = <b>0</b></li> <li>- 1 - 2 years' of experience in insurance brokerage with relevant qualification = <b>1</b></li> <li>- 2 - 3 years' of experience in insurance brokerage = <b>2</b></li> <li>- 3 – 4 years' experience in insurance brokerage = <b>3</b></li> <li>- 4 – 5 years' experience in insurance brokerage = <b>4</b></li> <li>- 5 years and above experience in insurance brokerage = <b>5</b></li> </ul> |
| <b>3. Project Plan/ Methodology</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>35%</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <p>The bidder must provide a project implementation plan which details how the service will be carried out. The project plan must have deliverables and time frames.</p> <p><b>3.1 Service Implementation Plan (Service Execution)</b></p> <p>The plan must include but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Provide details about the resources and processes of the company to handle and settle insurance claims i.e. computer systems.</li> </ul>                                                                                                                 | 15%        | <ul style="list-style-type: none"> <li>- No service implementation plan provided = <b>0</b></li> <li>- The insurance broker provides one of the services with fair/average methodology proposed = <b>2</b></li> <li>- The insurance broker provides two of the services with fair/average methodology proposed = <b>3</b></li> </ul>                                                                                                                                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |     |                                                                                                                                                                                                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>• Turnaround times to handle insurance claims</li> <li>• The bidder must provide a clear support plan for the duration of the term.</li> </ul>                                                                                                                                                                                                                                                                                                                           |     | <ul style="list-style-type: none"> <li>- The insurance broker provides with all three of the services with good methodology proposed = <b>4</b></li> <li>- The insurance broker provides with all three of the services with excellent methodology proposed = <b>5</b></li> </ul>                                       |
| <p><b>3.2 Detailed Claim High Level Workflow/ Process Map</b></p> <p>The detailed claim high level workflow/process map to be adopted and implemented by NLC. The workflow must include the following:</p> <ul style="list-style-type: none"> <li>• The bidder provides number of claims upon registration of new claim.-</li> <li>• The bidder provides weekly feedback on outstanding claims.</li> <li>• The claims are resolved within 30 days after submission of required documentation by NLC.</li> </ul> | 10% | <ul style="list-style-type: none"> <li>- No workflow provided OR the insurance broker provides with less than two of the services = <b>0</b></li> <li>- The insurance broker provides with two of the services = <b>2</b></li> <li>- The insurance broker provides with all three of the services = <b>5</b></li> </ul> |
| <p><b>3.3 Customer reviews</b></p> <p>Bidders are required to provide customer reviews for the last financial year.</p>                                                                                                                                                                                                                                                                                                                                                                                         | 10% | <ul style="list-style-type: none"> <li>- No customer reviews submitted = <b>0</b></li> <li>- The insurance broker provided a mixed of customer reviews = <b>3</b></li> <li>- The insurance broker provided positive customers reviews= <b>5</b></li> </ul>                                                              |
| <p><b>4. Relationship with insurers/underwriters</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 15% |                                                                                                                                                                                                                                                                                                                         |
| <p>Bidders are required to provide documentary proof from underwriters or insurers of existing relationship or commitment.</p>                                                                                                                                                                                                                                                                                                                                                                                  |     | <ul style="list-style-type: none"> <li>- No proof information provided = <b>0</b></li> <li>- The insurance broker provided one (1) proof from insurer/underwriter of existing SLAs or</li> </ul>                                                                                                                        |

|  |                                               |            |                                                                                                                                                                                                                                                                                                                                                                                                    |  |
|--|-----------------------------------------------|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|  |                                               |            | commitment to the bidder                                                                                                                                                                                                                                                                                                                                                                           |  |
|  |                                               |            | to provide insurance to<br>NLC = 2<br><br>- The insurance broker<br>provided two (2) proofs<br>from insurer/underwriters of<br>existing SLAs or<br>commitment to the bidder<br>to provide insurance to<br>NLC = 3<br><br>- The insurance broker<br>provided three (3) proofs<br>from insurer/underwriters of<br>existing SLAs or<br>commitment to the bidder<br>to provide insurance to<br>NLC = 5 |  |
|  | <b>Total Weighting:</b>                       | <b>100</b> |                                                                                                                                                                                                                                                                                                                                                                                                    |  |
|  | <b>Minimum qualifying score<br/>required:</b> | <b>70</b>  |                                                                                                                                                                                                                                                                                                                                                                                                    |  |

#### Stage 4: Pricing and B BBEE comparatives

The evaluation for Pricing and B-BBEE will include the following

| Evaluation<br>Criteria | Final Weighted<br>Scores |
|------------------------|--------------------------|
|------------------------|--------------------------|

| <p><b>Price</b></p> <p>The following formula will be used to calculate the points out of 80 for price in respect of a tender with a Rand value equal to or above R30 000 and up to a Rand value of R50 million, inclusive of all applicable taxes:</p> $P_s = 80 \left( 1 - \frac{P_t - P_{min}}{P_{min}} \right)$ <p>Where:</p> <p><math>P_s</math> = Score for the Bid under consideration</p> <p><math>P_t</math> = Price of Bid under consideration</p> <p><math>P_{min}</math> = Price of lowest acceptable Bid</p>                                                                                                                                                               | 80                                 |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------------------|---|----|---|----|---|----|---|----|---|---|---|---|---|---|---|---|---------------------------|---|----|
| <p><b>B-BBEE - Scorecard</b></p> <p>The following table will be used to calculate the score out of 20 for BBEE level status as evidenced by the certificate or sworn affidavit</p> <table border="1" data-bbox="225 925 1042 1451"> <thead> <tr> <th>B-BBEE Status Level of Contributor</th><th>Number of Points (80/20 system)</th></tr> </thead> <tbody> <tr><td>1</td><td>20</td></tr> <tr><td>2</td><td>18</td></tr> <tr><td>3</td><td>14</td></tr> <tr><td>4</td><td>12</td></tr> <tr><td>5</td><td>8</td></tr> <tr><td>6</td><td>6</td></tr> <tr><td>7</td><td>4</td></tr> <tr><td>8</td><td>2</td></tr> <tr><td>Non-Compliant Contributor</td><td>0</td></tr> </tbody> </table> | B-BBEE Status Level of Contributor | Number of Points (80/20 system) | 1 | 20 | 2 | 18 | 3 | 14 | 4 | 12 | 5 | 8 | 6 | 6 | 7 | 4 | 8 | 2 | Non-Compliant Contributor | 0 | 20 |
| B-BBEE Status Level of Contributor                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Number of Points (80/20 system)    |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 20                                 |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 18                                 |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 14                                 |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 12                                 |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 5                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 8                                  |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 6                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 6                                  |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 7                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 4                                  |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| 8                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 2                                  |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| Non-Compliant Contributor                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 0                                  |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |
| <b>TOTAL SCORE:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>100</b>                         |                                 |   |    |   |    |   |    |   |    |   |   |   |   |   |   |   |   |                           |   |    |

## Stage 5: Due Diligence

The NLC reserves the right to undertake a due diligence exercise on the preferred bidder/s as part of a material risk evaluation aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:

- a) Physical inspection of the Bidder's offices, branches or other places
- b) Verification of accuracy, correctness and authenticity of information provided
- c) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team
- d) Inquiry and reference checking with National Treasury Restricted Suppliers
- e) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary;
- f) Financial Stability Assessments

## Stage 6: Contract and Award

The stage is for negotiation after receipt of formal tenders and before the conclusion of contracts with suppliers/contractors submitting the lowest acceptable tender with a view to obtaining an improvement in price, delivery or content, in circumstances which do not put other tenderers at a disadvantage or affect adversely their confidence or trust in the competitive system. Bidders may be requested to provide their best and final offers based on contract negotiations.



## PART A INVITATION TO BID

|                                                                                                                                                                                                                     |                                                                                                           |               |                                                                          |                               |                                                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|---------------|--------------------------------------------------------------------------|-------------------------------|-------------------------------------------------------------------------------------------------------|
| <b>YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE (NAME OF DEPARTMENT/ PUBLIC ENTITY)</b>                                                                                                                    |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| BID NUMBER:                                                                                                                                                                                                         | NLC/2022 - 09                                                                                             | CLOSING DATE: | 30 June 2022                                                             | CLOSING TIME:                 | 11h00AM                                                                                               |
| DESCRIPTION                                                                                                                                                                                                         | APPOINTMENT OF AN INSURANCE BROKER FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE (3) YEARS. |               |                                                                          |                               |                                                                                                       |
| <b>BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT (STREET ADDRESS)</b>                                                                                                                          |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| NATIONAL LOTTERIES COMMISSION, 333 GROSVENOR STREET; BLOCK D HATFIEL GARDENS, HATFIELD, PRETORIA, 0083                                                                                                              |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| <b>BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO</b>                                                                                                                                                               |                                                                                                           |               | <b>TECHNICAL ENQUIRIES MAY BE DIRECTED TO:</b>                           |                               |                                                                                                       |
| CONTACT PERSON                                                                                                                                                                                                      | MR NJABULO MAVUMA                                                                                         |               | CONTACT PERSON                                                           |                               |                                                                                                       |
| TELEPHONE NUMBER                                                                                                                                                                                                    | (012) 432 1302                                                                                            |               | TELEPHONE NUMBER                                                         |                               |                                                                                                       |
| FACSIMILE NUMBER                                                                                                                                                                                                    |                                                                                                           |               | FACSIMILE NUMBER                                                         |                               |                                                                                                       |
| E-MAIL ADDRESS                                                                                                                                                                                                      | Thobile@nlcsa.org.za                                                                                      |               | E-MAIL ADDRESS                                                           |                               |                                                                                                       |
| <b>SUPPLIER INFORMATION</b>                                                                                                                                                                                         |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| 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:                                                                                |               | OR                                                                       | CENTRAL SUPPLIER DATABASE No: | MAAA                                                                                                  |
| B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE                                                                                                                                                                        | TICK APPLICABLE BOX]<br><br><input type="checkbox"/> Yes <input type="checkbox"/> No                      |               | B-BBEE STATUS LEVEL SWORN AFFIDAVIT                                      |                               | [TICK APPLICABLE BOX]<br><br><input type="checkbox"/> Yes <input type="checkbox"/> No                 |
| <b>[A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES &amp; QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]</b>                                               |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| 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 ] |
| <b>QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS</b>                                                                                                                                                                   |                                                                                                           |               |                                                                          |                               |                                                                                                       |
| IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)?                                                                                                                                                     |                                                                                                           |               | <input type="checkbox"/> YES <input type="checkbox"/> NO                 |                               |                                                                                                       |
| DOES THE ENTITY HAVE A BRANCH IN THE RSA?                                                                                                                                                                           |                                                                                                           |               | <input type="checkbox"/> YES <input type="checkbox"/> NO                 |                               |                                                                                                       |
| DOES THE ENTITY HAVE A PERMANENT ESTABLISHMENT IN THE RSA?                                                                                                                                                          |                                                                                                           |               | <input type="checkbox"/> YES <input type="checkbox"/> NO                 |                               |                                                                                                       |
| DOES THE ENTITY HAVE ANY SOURCE OF INCOME IN THE RSA?                                                                                                                                                               |                                                                                                           |               | <input type="checkbox"/> YES <input type="checkbox"/> NO                 |                               |                                                                                                       |
| IS THE ENTITY LIABLE IN THE RSA FOR ANY FORM OF TAXATION?                                                                                                                                                           |                                                                                                           |               | <input type="checkbox"/> YES <input type="checkbox"/> NO                 |                               |                                                                                                       |
| 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. |                                                                                                           |               |                                                                          |                               |                                                                                                       |

## PART B

### TERMS AND CONDITIONS FOR BIDDING

|                                       |                                                                                                                                                                                                                                           |
|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. BID SUBMISSION:</b>             |                                                                                                                                                                                                                                           |
| 1.1.                                  | BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.                                                                                                                   |
| 1.2.                                  | <b>ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED–(NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.</b>                                                                                                    |
| 1.3.                                  | THIS BID IS SUBJECT TO THE PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, 2000 AND THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017, THE GENERAL CONDITIONS OF CONTRACT (GCC) AND, IF APPLICABLE, ANY OTHER SPECIAL CONDITIONS OF CONTRACT. |
| 1.4.                                  | <b>THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD7).</b>                                                                                                                                         |
| <b>2. TAX COMPLIANCE REQUIREMENTS</b> |                                                                                                                                                                                                                                           |
| 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 <a href="http://WWW.SARS.GOV.ZA">WWW.SARS.GOV.ZA</a> .                                                                                  |
| 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: .....

## 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 institution | State |
|-----------|-----------------|---------------------|-------|
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |
|           |                 |                     |       |

<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.

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

---

<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.

- 3.5 There have been no consultations, communications, agreements or arrangements made by the bidder with any official of the procuring 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

## ANNEXURE A

### PRICING SCHEDULE: APPOINTMENT OF AN INSURANCE BROKER FOR THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE YEARS

**NLC/2022 - 09**

**Name of bidder**.....

Please provide prices (VAT Inclusive) for the appointment of an insurance broker for the National Lotteries Commission (NLC). For comparative purposes, bidders are requested to quote on the premium based on the assets register mentioned below. The monthly premium should include the broker fee.

#### Asset Register

| Property, Plant and Equipment   | Value                   |
|---------------------------------|-------------------------|
| Computer Equipment              | R 15 620 119.77         |
| Furniture & Fittings -          | R 15 435 484.61         |
| Network Infrastructure          | R 13 711 044.42         |
| Leasehold Improvements          | R 8 275 961.45          |
| Office Equipment                | R 19 206 980.73         |
| Land & Buildings Office-Finance | R 71 308 255.07         |
| Intangible Assets               | R 129 214 841.11        |
| <b>Total</b>                    | <b>R 272 772 687.20</b> |

Please provide with the premium amount inclusive of the broker fee (VAT inclusive) using Table 1 below:

## ANNEXURE A

| TABLE 1                                   |                                    |                                            |                                    |                                            |                                    |                                            |
|-------------------------------------------|------------------------------------|--------------------------------------------|------------------------------------|--------------------------------------------|------------------------------------|--------------------------------------------|
|                                           | Year 1                             |                                            | Year 2                             |                                            | Year 3                             |                                            |
|                                           | Monthly premium<br>(VAT Inclusive) | Annual premium<br>(VAT Inclusive)<br><br>A | Monthly premium<br>(VAT Inclusive) | Annual premium<br>(VAT Inclusive)<br><br>B | Monthly premium<br>(VAT Inclusive) | Annual premium<br>(VAT Inclusive)<br><br>C |
| 1. Insurance Premium                      | -----                              | -----                                      | -----                              | -----                                      | -----                              | -----                                      |
| 2. Directors and Officers Liability Cover | N/A                                | -----                                      | N/A                                | -----                                      | N/A                                | -----                                      |
| 3. Public Liability Cover                 | N/A                                | -----                                      | N/A                                | -----                                      | N/A                                | -----                                      |

## ANNEXURE A

|                                                                             |  |       |  |       |  |       |
|-----------------------------------------------------------------------------|--|-------|--|-------|--|-------|
| <b>TOTAL FOR 3 YEARS</b>                                                    |  |       |  |       |  |       |
|                                                                             |  | ----- |  | ----- |  | ----- |
| <b>TOTAL BID PRICE: ANNUAL<br/>PREMIUMS (A + B + C)<br/>(VAT Inclusive)</b> |  |       |  |       |  |       |

.....

**Name of representative**

.....

**Signature**

.....

**Date**

## SBD 6.1

### PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL PROCUREMENT REGULATIONS 2017

This preference form must form part of all bids invited. It contains general information and serves as a claim form for preference points for Broad-Based Black Economic Empowerment (B-BBEE) Status Level of Contribution

**NB: BEFORE COMPLETING THIS FORM, BIDDERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF B-BBEE, AS PRESCRIBED IN THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017.**

#### 1. GENERAL CONDITIONS

1.1 The following preference point systems are applicable to all bids:

- the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included); and
- the 90/10 system for requirements with a Rand value above R50 000 000 (all applicable taxes included).

1.21.2

- a) The value of this bid is estimated to **exceed/not exceed** R50 000 000 (all applicable taxes included) and therefore the ..... preference point system shall be applicable; or
- b) Either the 80/20 or 90/10 preference point system will be applicable to this tender (*delete whichever is not applicable for this tender*).

1.3 Points for this bid shall be awarded for:

- (a) Price; and
- (b) B-BBEE Status Level of Contributor.

1.4 The maximum points for this bid are allocated as follows:

|                                                   | POINTS |
|---------------------------------------------------|--------|
| PRICE                                             |        |
| B-BBEE STATUS LEVEL OF CONTRIBUTOR                |        |
| Total points for Price and B-BBEE must not exceed | 100    |

1.5 Failure on the part of a bidder to submit proof of B-BBEE Status level of contributor together with the bid, will be interpreted to mean that preference points for B-BBEE status level of contribution are not claimed.

1.6 The purchaser reserves the right to require of a bidder, either before a bid is adjudicated or at any time subsequently, to substantiate any claim in regard to preferences, in any

manner required by the purchaser.

## 2. DEFINITIONS

- (a) **“B-BBEE”** means broad-based black economic empowerment as defined in section 1 of the Broad-Based Black Economic Empowerment Act;
- (b) **“B-BBEE status level of contributor”** means the B-BBEE status of an entity in terms of a code of good practice on black economic empowerment, issued in terms of section 9(1) of the Broad-Based Black Economic Empowerment Act;
- (c) **“bid”** means a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the provision of goods or services, through price quotations, advertised competitive bidding processes or proposals;
- (d) **“Broad-Based Black Economic Empowerment Act”** means the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);
- (e) **“EME”** means an Exempted Micro Enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;
- (f) **“functionality”** means the ability of a tenderer to provide goods or services in accordance with specifications as set out in the tender documents.
- (g) **“price”** includes all applicable taxes less all unconditional discounts;
- (h) **“proof of B-BBEE status level of contributor”** means:
  - 1) B-BBEE Status level certificate issued by an authorized body or person;
  - 2) A sworn affidavit as prescribed by the B-BBEE Codes of Good Practice;
  - 3) Any other requirement prescribed in terms of the B-BBEE Act;
- (i) **“QSE”** means a qualifying small business enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;
- (j) **“rand value”** means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;

## 3. FORMULAE FOR PROCUREMENT OF GOODS AND SERVICES

### 4. POINTS AWARDED FOR PRICE

#### 4.1 THE 80/20 OR 90/10 PREFERENCE POINT SYSTEMS

A maximum of 80 or 90 points is allocated for price on the following basis:

**80/20**

**or**

**90/10**

$$P_s = 80 \left( 1 - \frac{P_t - P_{min}}{P_{min}} \right) \text{ or } P_s = 90 \left( 1 - \frac{P_t - P_{min}}{P_{min}} \right)$$

Where

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

$P_t$  = Price of bid under consideration

$P_{min}$  = Price of lowest acceptable bid

#### 4.2 FORMULAE FOR DISPOSAL OR LEASING OF STATE ASSETS AND INCOME-

### 4.3 POINTS AWARDED FOR PRICE

A maximum of 80 or 90 points is allocated for price on the following basis:

$$P_S = 80 \left( 1 + \frac{Pt - P_{max}}{P_{max}} \right) \text{ or } P_S = 90 \left( 1 + \frac{Pt - P_{max}}{P_{max}} \right)$$

Where

Ps = Points scored for price of bid under consideration

Pt = Price of bid under consideration

$P_{\max}$  = Price of highest acceptable bid

## 5. POINTS AWARDED FOR B-BBEE STATUS LEVEL OF CONTRIBUTOR

5.1 In terms of Regulation 6 (2) and 7 (2) of the Preferential Procurement Regulations, preference points must be awarded to a bidder for attaining the B-BBEE status level of contribution in accordance with the table below:

| B-BBEE Status Level of Contributor | Number of points (90/10 system) | Number of points (80/20 system) |
|------------------------------------|---------------------------------|---------------------------------|
| 1                                  | 10                              | 20                              |
| 2                                  | 9                               | 18                              |
| 3                                  | 6                               | 14                              |
| 4                                  | 5                               | 12                              |
| 5                                  | 4                               | 8                               |
| 6                                  | 3                               | 6                               |
| 7                                  | 2                               | 4                               |
| 8                                  | 1                               | 2                               |
| Non-compliant contributor          | 0                               | 0                               |

## 6. BID DECLARATION

6.1 Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete the following:

7. **B-BBEE STATUS LEVEL OF CONTRIBUTOR CLAIMED IN TERMS OF PARAGRAPHS 1.4 AND 4.1**

7.1 B-BBEE Status Level of Contributor: . = .....(maximum of 10 or 20 points)  
(Points claimed in respect of paragraph 7.1 must be in accordance with the table reflected in paragraph 4.1 and must be substantiated by relevant proof of B-BBEE status level of contributor.

## 8. SUB-CONTRACTING

8.1 Will any portion of the contract be sub-contracted?

**(Tick applicable box)**

|     |  |    |  |
|-----|--|----|--|
| YES |  | NO |  |
|-----|--|----|--|

8.1.1 If yes, indicate:

- i) What percentage of the contract will be subcontracted ..... %
- ii) The name of the sub-contractor.....
- iii) The B-BBEE status level of the sub-contractor.....
- iv) Whether the sub-contractor is an EME or QSE

**(Tick applicable box)**

|     |  |    |  |
|-----|--|----|--|
| YES |  | NO |  |
|-----|--|----|--|

- v) Specify, by ticking the appropriate box, if subcontracting with an enterprise in terms of Preferential Procurement Regulations, 2017:

| Designated Group: An EME or QSE which is at least 51% owned by:   | EME<br>√ | QSE<br>√ |
|-------------------------------------------------------------------|----------|----------|
| Black people                                                      |          |          |
| Black people who are youth                                        |          |          |
| Black people who are women                                        |          |          |
| Black people with disabilities                                    |          |          |
| Black people living in rural or underdeveloped areas or townships |          |          |
| Cooperative owned by black people                                 |          |          |
| Black people who are military veterans                            |          |          |
| <b>OR</b>                                                         |          |          |
| Any EME                                                           |          |          |
| Any QSE                                                           |          |          |

## 9. DECLARATION WITH REGARD TO COMPANY/FIRM

9.1 Name of company/firm:.....

9.2 VAT registration number:.....

9.3 Company registration number:.....

9.4 TYPE OF COMPANY/ FIRM

- Y Partnership/Joint Venture / Consortium
  - Y One person business/sole propriety
  - Y Close corporation
  - Y Company
  - Y (Pty) Limited
- [TICK APPLICABLE BOX]

9.5 DESCRIBE PRINCIPAL BUSINESS ACTIVITIES

.....

.....

.....

.....

## 9.6 COMPANY CLASSIFICATION

- Y Manufacturer  
 Y Supplier  
 Y Professional service provider  
 Y Other service providers, e.g. transporter, etc.  
 [TICK APPLICABLE BOX]

9.7 Total number of years the company/firm has been in business:.....

9.8 I/we, the undersigned, who is / are duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the B-BBE status level of contributor indicated in paragraphs 1.4 and 6.1 of the foregoing certificate, qualifies the company/ firm for the preference(s) shown and I / we 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 6.1, the contractor may be required to furnish documentary proof to the satisfaction of the purchaser that the claims are correct;
- iv) If the B-BBEE status level of contributor has been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the purchaser may, in addition to any other remedy it may have –
  - (a) disqualify the person from the bidding 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 bidder or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted by the National Treasury 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.

## WITNESSES

1. ....
2. ....

.....  
 SIGNATURE(S) OF BIDDERS(S)

DATE: .....

ADDRESS .....

.....

.....



## **SCM:** **CONSENT REQUEST** **FORM**

REQUEST FOR THE CONSENT OF A DATA SUBJECT FOR PROCESSING OF PERSONAL INFORMATION FOR THE PURPOSE OF PROCUREMENT OF GOODS AND SERVICES APPLICATION, IN LINE WITH THE NLC's SUPPLY CHAIN MANAGEMENT POLICY, IN TERMS OF SECTION 11(1)(a) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO.4 OF 2013) ("**POPIA**").

TO: \_\_\_\_\_

FROM: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

Contact number: \_\_\_\_\_

Email address: \_\_\_\_\_

### **PART A**

1. In terms of the PROTECTION OF PERSONAL INFORMATION ACT, consent for processing of personal information of a data subject (the person/entity to whom personal information relates) must be obtained for the purpose of processing of application for procurement of goods and services, in line with the NLC's supply chain management policy, and storage of your personal data by means of any form of electronic communication, including automatic calling machines, facsimile machines, SMSs or e-mail, which is prohibited unless written consent to the processing is given by the data subject. You may only be approached once for your consent by us (NLC). After you have indicated your wishes in Part B, you are kindly requested to submit this Form either by post, facsimile or e-mail to the address, facsimile number or e-mail address as stated above.

2. "Processing" means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including—
  - 2.1 the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use;
  - 2.2 dissemination by means of transmission, distribution or making available in any other form; or
  - 2.3 merging, linking, as well as restriction, degradation, erasure or destruction of information.
3. "Personal information" means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to—
  - 3.1 information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person;
  - 3.2 information relating to the education or the medical, financial, criminal or employment history of the person;
  - 3.3 any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person;
  - 3.4 the biometric information of the person;
  - 3.5 the personal opinions, views or preferences of the person;
  - 3.6 correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence;
  - 3.7 the views or opinions of another individual about the person; and
  - 3.8 the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.

\_\_\_\_\_  
Signature of Designation person

## **PART B**

I, \_\_\_\_\_ (full names), duly authorized, hereby: Consent to the processing of my/our personal information for the application of procurement of goods and services, in line with the NLC supply chain management policy, in terms of section 11(1)(a) of POPIA.

SPECIFY GOODS AND SERVICES (Edit/Click on services not required):

- ☐ Product Information
- ☐ Product Updates
- ☐ Industry Newsletters
- ☐ Price Changes

Method of Communication will be via: Email/Postal

☐ Give my consent.

By Ticking the next box, I am aware that I am Digitally Signing this Consent request Form:

☐

Full Name:    Date:

## **WITHDRAWAL OF CONSENT ONCE GIVEN**

You may withdraw your consent at any time.

Write or email us at the address above, advising us of your consent withdrawal