



## REQUEST FOR PROPOSAL

Bid Number: **2020/13**

To Supply, Implement, Maintain and  
Support an Off-the-Shelf Internal Audit  
Software Solution

Closing Date: 2021-01-15

Closing Time: 12H00 PM

## Table of Contents

1.	Part 1 - Letter of Invitation .....	2
2.	Part 2 - Instructions .....	3
2.1.	Sasria .....	3
2.2.	Contractual Commitment .....	3
2.3.	Confidentiality .....	3
2.4.	Submission Format (Returnable Schedules) .....	3
2.4.2	Schedule 1:.....	4
2.4.3	Schedule 2:.....	4
2.4.4	Schedule 3:.....	4
2.4.5	Schedule 4:.....	4
2.5.	Submission of Proposals.....	4
2.6.	Queries and Clarifications .....	5
2.7.	Automatic Disqualification .....	5
2.8.	Sasria's Rights .....	5
2.9.	Proposal Costs .....	6
2.10.	Validity Period.....	6
2.11.	Important Dates .....	6
2.12.	Transformation.....	6
3.	Part 3 - RFP Requirements .....	7
3.2.	Background Information .....	7
3.3.	Scope of Work .....	8
<b>3.4.</b>	<b>Contract Duration</b> .....	<b>9</b>
4.	Part 4 - Financial Proposal .....	22
5.	Part 5 - Qualification and Evaluation Criteria .....	26
5.1.	Evaluation of proposals.....	26
5.2.	Prequalifying Criteria.....	26
5.3.	Evaluation Criteria.....	26
5.3.1.	Level 1 - Governance Verification .....	26
5.3.2.	Level 2 - Technical Evaluation .....	26
5.3.3.	Level 3 – Preference Point System .....	29
6.	Part 6 – Required Documents .....	30
	ANNEXURE A: NON-DISCLOSURE AGREEMENT .....	31
	ANNEXURE B: ACCEPTANCE OF BID CONDITIONS AND BIDDER'S DETAILS .....	41
	ANNEXURE C: SHAREHOLDER INFORMATION .....	44
	ANNEXURE D: BIDDER'S EXPERIENCE AND PROPOSED PROJECT TEAM.....	45

## 1. Part 1 - Letter of Invitation

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To the Service Provider:

Sasria SOC Limited hereby invites proposals from suitably qualified service providers to Supply, Implement, Maintain and Support an **off-the-shelf Internal Audit Software Solution**.

The service provider will be selected under the procedures described in this Request for Proposal (RFP) document.

The RFP consists of the following documents:

- Part 1 – Letter of Invitation
- Part 2 – Instructions
- Part 3 – RFP Requirements
- Part 4 – Financial Proposal
- Part 5 – Pre-Qualification and Evaluation Criteria
- Part 6 - Required Documents
  - Confidentiality and Non-disclosure Agreement (Annexure A);
  - Acceptance of Bid Conditions (Annexure B);
  - Invitation to Bid (SBD 1);
  - Tax Clearance Certificate Requirements (SBD 2);
  - Pricing Schedule (SBD 3.3 Professional Service);
  - Declaration of Interest (SBD 4);
  - Preference Points Claims Form in terms of the Preferential Procurement Regulations 2017 (SBD 6.1);
  - Declaration Certificate for Local Production and Content (SBD 6.2)
  - Contract Form – Rendering of Goods/ Works SBD 7.1 (or 7.2 for Services);
  - Declaration of Bidder's Past SCM Practices (SBD 8); and
  - Certificate of Independent Bid Determination (SBD 9).

Note: Failure to provide any one of the documents required in Part 6 may lead to an immediate disqualification of the service provider from the tender process.

In submitting any information or documentation requested above or any other information that may be requested pursuant to this RFP, you are consenting to the processing by Sasria or its stakeholders of your personal information and all other personal information contained therein, as contemplated in the Protection of Personal Information Act, No.4 of 2013 and Regulations promulgated thereunder ("POPI Act"). Further, you declare that you have obtained all consents required by the POPI Act or any other law applicable. Thus, you hereby indemnify Sasria against any civil or criminal action, administrative fine or other penalty or loss that may arise as a result of the processing of any personal information that you submit.

## 2. Part 2 - Instructions

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### 2.1. Sasria

Sasria SOC Ltd (Sasria) is the only short-term insurer that provides special risk cover to all individuals and businesses that own assets in South Africa, as well as government entities. This is a unique cover against risks such as civil commotion, public disorder, strikes, riots and terrorism, making South Africa one of the few countries in the world that provide this insurance, particularly at affordable premiums.

As a state-owned entity, Sasria has a legislative mandate that governs day-to-day business operations and a broader strategic mandate to make a positive contribution to transformation within the Insurance industry in South Africa. Sasria's core business is the provision of short-term insurance for riots, strikes, terrorism, civil commotion and public disorder to businesses, government entities and individuals. This is achieved by entering into agreements with other short-term insurance agencies and brokers in offering special risk solutions on our behalf. Sasria then relies on insurance companies for the operation of day-to-day administration and collection of premiums.

The Government of the Republic of South Africa, and specifically the National Treasury through the Minister of Finance, is the sole shareholder of Sasria. As such, the company has to comply with a number of legal and regulatory requirements.

Bidders are encouraged to review Sasria's latest Integrated Report, available on its website, to get a better understanding of its business operations and functions.

### 2.2. Contractual Commitment

No commitment of any kind, contractual or otherwise shall exist unless and until a formal written agreement has been executed by or on behalf of Sasria. Any notification of preferred bidder status by Sasria shall not give rise to any enforceable rights by the Bidder. Sasria may cancel this RFP any time prior to the formal written agreement being executed by or on behalf of Sasria.

Sasria reserves the right at its sole discretion, and at any time, to amend, deviate from, postpone, discontinue or terminate the transaction/procurement process without incurring any liability whatsoever to any other party.

Sasria reserves the right not to award this tender to the highest ranked or highest scoring bidder, as it needs to align its procurement practices to governance practices that are in line with its own growth path. These may include but are not limited to driving socio-economic development objectives that are enshrined in various government policies.

### 2.3. Confidentiality

All bidders to this RFP will be required to sign the confidentiality and non-disclosure agreement outlined on Annexure A in this document.

### 2.4. Submission Format (Returnable Schedules)

Bidders are required to submit a comprehensively detailed bid responses in accordance with the submission format specified below (each schedule must be clearly marked):

#### 2.4.1 Schedule 1:

- Executive Summary (explaining how you understand the requirements of this RFP, summary of your proposed solution and the summary of your experience relevant to the requirements of this RFP).
- Annexure B of this RFP document (See Part 6) (duly completed and signed).

#### 2.4.2 Schedule 2:

- All documents (except Annexure B) listed on Part 6 of this RFP Document (duly completed and signed);

CSD number to verify tax compliance Valid B-BBEE verification certificate indicating the contribution level of the bidding entity. An Exempted Micro Enterprises (EME) with an annual turnover less than R10 million, is only required to obtain a sworn affidavit confirming the annual total revenue and level of black ownership. A Qualifying Small Enterprise (QSE) that has 51% or more black beneficiaries may obtain a sworn affidavit confirming the annual total revenue and level of black ownership

Note: If a bidder is a Consortium, Joint Venture or Prime Contractor with Subcontractor(s), the documents listed above must be submitted for each Consortium/ JV member or Prime Contractor and Subcontractor(s).

- Copy of Joint Venture/ Consortium/ Subcontracting Agreement duly signed by all parties (if applicable).

#### 2.4.3 Schedule 3:

- Technical Proposal in line with the Technical Evaluation Criteria in Part 5 of this RFP document.

#### 2.4.4 Schedule 4:

- Financial/Price Proposal in line with Part 4 of this RFP document

### 2.5. Submission of Proposals

The closing date for the submission of proposals is **15 January 2021 at 12h00 pm**. Duly completed proposals must be sent to [tendersubmission@sasria.co.za](mailto:tendersubmission@sasria.co.za) on or before the closing date and time. **The subject of the email must reflect the TENDER NUMBER ONLY: RFP2020/13**

**Each schedule must be clearly marked and submitted as a separate attachment. No documents sent via external file hosting platforms will be accepted.**

**Hand delivered, posted or faxed proposals will NOT be accepted.**

**Late bids will not be accepted or considered.**

## 2.6. Queries and Clarifications

All communication and requests for information required of any kind must be addressed in writing to [procurement@sasria.co.za](mailto:procurement@sasria.co.za) by no later than **08 December 2020**.

Additional information may be provided at Sasria's discretion, who reserves the right to provide the same information to all other interested parties, should this enhance the submission. The bidder acknowledges that it will have no claim against Sasria on the basis that its bid was disadvantaged by lack of information, or inability to resolve ambiguities.

The enquiries will be consolidated, and Sasria will issue one response and such response will be posted, within two days after the last day of enquiries, onto the Sasria website ([www.sasria.co.za](http://www.sasria.co.za)) under tenders i.e. next to the same RFP document.

## 2.7. Automatic Disqualification

Sasria reserves the right to disqualify any bidder which has done any one or more of the following, and such disqualification may take place without prior notice to the offending bidder:

- failed to provide proof that they are tax compliant with SARS;
- submitted incomplete information and documentation according to the requirements of this RFP document;
- submitted information that is fraudulent, factually untrue or inaccurate information;
- received information not available to other potential bidders through fraudulent means;
- failed to comply with **mandatory requirements** if stipulated in the RFP document;
- misrepresented or altered material information in whatever way or manner;
- promised, offered or made gifts, benefits to any Sasria employee;
- canvassed, lobbied in order to gain unfair advantage;
- committed fraudulent acts; and
- acted dishonestly and/or in bad faith etc.

## 2.8. Sasria's Rights

Sasria reserves the right to:

- Amend any bid conditions, bid validity period, RFP specifications, or extend the bid closing date, all before the bid closing date. Such amendments will be posted on the Sasria's website under the relevant tender information. All prospective bidders should therefore ensure that they visit the website regularly before they submit their bid response to ensure that they are kept updated on any amendments in this regard.
- Award this bid as a whole or in part or not make an award at all.
- Award this bid to more than one bidder.
- Negotiate with all or some of the shortlisted bidders.

- Not accept the lowest priced bid or award the bid to a bidder other than the highest scoring bidder.
- Conduct site visits at bidder's offices and / or at client sites if so required.
- Request any relevant information and/ or documents to verify or clarify information supplied in the bid response in relation, but not limited, to the structure of the bidding entity, bidder's capacity, bidder's B-BBEE profile, proposed solution, proposed timelines etc.
- By submitting a bid, the bidder hereby gives consent to Sasria to conduct any form of vetting or due diligence on the bidding entity and/ or any of its directors / trustees / shareholders / members.

## 2.9. Proposal Costs

All costs and expenses incurred by the bidder relating to their participation in, and preparation of this proposal process shall be borne by the bidder exclusively.

## 2.10. Validity Period

The proposals should remain valid for at least 150 days after the closing date.

## 2.11. Important Dates

Activity	Date
Release of RFP	30 November 2020
Last day of queries	08 December 2020
Responses to queries	10 December 2020
Closing date for submission of proposals	15 January 2021 at 12h00

Sasria reserves the right to amend any date specified above. Any changes will be communicated to the interested parties.

## 2.12. Transformation

Sasria promotes transformation within the financial services sector of the South African economy and as such, bidders are encouraged to partner with majority black owned entities (51% black owned and controlled). Such partnerships may include the formation of a Joint Venture and/ or subcontracting agreement etc., where a portion of the work under this tender would be undertaken by black owned entities. To give effect to this requirement, bidders are required to submit a partnership / subcontracting proposal detailing the portion of work to be outsourced, level of involvement of the black owned partner and where relevant, submit a consolidated B-BBEE scorecard in-line with the provisions of the PPPFA Regulations which will be considered as part of the B-BBEE scoring.

### 3. Part 3 - RFP Requirements

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#### 3.1. Background Information

Sasria has embarked on a digital transformation strategy with the overall purpose of introducing new innovative technologies into the company, while pursuing an integration approach as best possible. The execution of the strategy which is baselined using People, Process and systems Technology, have an impact on the technological landscape of Sasria, which includes Sasria Internal Audit function.

The primary objective of Sasria's Internal Audit function is assisting Sasria to accomplish its objectives by bringing a systematic and disciplined approach to evaluating and improving the effectiveness of risk management control and governance processes. To meet legislative and stakeholder requirements, Internal Audit has to improve its own processes and efficiencies thereof as the current processes are manually extensive.

Sasria Internal Audit is seeking an **existing off-the-shelf Audit software (Solution)** for internal audit planning, audit scheduling, audit execution, audit reporting, follow-up audits and administrative needs, to increase efficiency in its operations and also to create a modern and innovative digital workspace. Sasria's Quality Assurance department's processes are similar to Internal Audit, and therefore the solution will also be used by Quality Assurance.

The Solution should be an existing product, commercially available, require no research or development with a field-proven operational history in Internal Audit ("Off-the-Shelf"). The Solution should enable mobility, Sasria users should be able to access the solution from anywhere using any appropriate mobile device. Currently Sasria internal audit consists of twelve (12) professionals, and two (2) Quality Assurance professionals.

As Sasria operates in an outsourced business model through the network of short-term insurers and brokers, which form part of Sasria internal audit's annual audit plans, the solution should allow for engagements with these parties to communicate and receive information related to the audits within the software.

The successful service provider will be responsible for the supply, implementation and support of the off-the-shelf internal audit software that best meets the requirements as set forth in this RFP.



### 3.2. Scope of Work

The scope of work has been detailed below but is not limited to:

No	Deliverable	Description
1	Training and training material/ skills transfer	<p>Service provider to provide all training material and comprehensive training for users, admin and support. Skills transfer will be required to all core project team members.</p> <p>The proposal should provide a plan that addresses the training needs of:</p> <ul style="list-style-type: none"> <li>• System Administrators (3)</li> <li>• Highest level users (6)</li> <li>• End-users (44)</li> </ul> <p>Service provider to indicate how skills transfer will be carried out.</p>
2	Hosting	The solution can be hosted on premise or on cloud. If the solution is hosted on cloud, the data centre will be required to be within South African boundaries.
3	Project management	The service provider must provide a comprehensive approach to the project, indicating the phases, duration and project timeframes.
4	Analysis	<p>Service provider will be required to do a comprehensive analysis on the following:</p> <ul style="list-style-type: none"> <li>• Identification of additional requirements (Functional Specification Document to include additional requirements)</li> <li>• Any other analysis tasks relevant for the successful delivery of this project.</li> </ul>
5	Technical Specification Document	Service provider will be required to produce a Technical Specification Document
6	System, development/ Configuration/Implementation and Support	Service provider will be responsible for the development/configuration/implementation and support of the system.
7	Testing	Service provider to carry out full testing suite including unit testing, integration testing, and stress testing and any other relevant testing.
8	Minimum Service Level Agreement (SLA) requirements	<p>The service provider to provide support based on the following resolution times of Sasria's SLA:</p> <ul style="list-style-type: none"> <li>• Critical= 4 hours</li> <li>• High= 5 hours</li> <li>• Medium=6 hours</li> <li>• Low = 8 hours</li> </ul>
9	Integration	Integration with other systems. More details can be found in the detailed requirements list.
10	Upgrading/ updates to system	Please indicate how upgrades / updates to the system is done. Is there any standard scheduled downtime for maintenance, how often etc.
11	3 <sup>rd</sup> party involvement	Service provider will be responsible for all deliverables due from any third party used for the delivery of this project.

### **3.3. Contract Duration**

The appointed service providers will be required to start immediately after signing the contract and provide the required services for a period of 3 years.

### 3.4. Requirements

Bidders must respond to each requirement using the response codes provided and use the comment field to add relevant information:

<b>Response Code</b>	<b>Description</b>
<b>F</b>	Fully provided (Out of the Box)
<b>M</b>	Modification required (Configuration/change using built in toolset)
<b>D</b>	Development required (Code change)
<b>N/A</b>	Not available

**Note:** The bidder must complete the table below Functional requirements below in line with their proposed solution. The bidder must provide detailed and comprehensive responses, in the spaces provided in the Tables below, on how their proposed solution meet/satisfy each stated user requirement including screenshots and additional information. If more space is required to provide detailed and comprehensive responses, the responses **MUST** be provided outside the Tables, however the bidder must ensure that such information is clearly cross-referenced to the relevant requirement for ease of evaluation.

The following requirements have been identified:

**FUNCTIONAL REQUIREMENTS:**

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
FR1	<b>Annual audit planning</b>	The solution must enable users to input the annual audit plan.		
FR2	<b>Schedule audit plans</b>	The solution must enable users to define/ schedule audits based on scope of work, approach/ methodology/ resources and time.		
FR3	<b>Workflow management: send automated email alerts and escalation</b>	The solution should allow for tasks and queries to be created and shared (internally or externally) and the recipient should be able to make comments / feedback and send back to the sender. (Responses should be linked to the task where it was created) - e.g. sign-off of engagement letter, -deliverables list, - Risk and Control Matrix sign off.		
		Alerts should be sent to allocated reviewer on completion & sign-off of tasks by the preparer.		
		The solution should be able to send reminders on due tasks		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		The solution should cater for escalation on overdue tasks		
FR4	<b>Workflow management: receive feedback</b>	Solution should be able to receive data and information from external parties linked to a specific project/file (e.g. related supporting documents)		
FR5	<b>Manage Tasks</b>	The solution should allow for work allocation (including task completion date) and status tracking (e.g. started, in progress, completed and overdue) at a granular level to the assigned internal audit team members		
		Status tracking should also include alerts and dashboard for assigned individual and engagement lead/ manager		
FR6	<b>Manage Timesheets</b>	The solution should enable tracking of time spent, timesheets to be linked to allocated work (project).  The solution should enable internal audit management to monitor timesheets.		
		The solution should be able to auto-generate project timesheet and individual team member's timesheets based on time spent on the project		
FR7	<b>Provide audit library (warehouse) – document management</b>	The solution should provide Internal Audit with all necessary documentation such as:		
		Standard audit procedures/ programs universal across (it can link to a database that provides this ability which automatically update with the latest libraries)		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		- Solution should have the ability to house a library that is specific to our environment, e.g. Sasria specific audit procedures, Public Finance Management Act (PFMA), Short Term Insurance		
FR8	<b>Risk library</b>	The solution should provide a library of all risks raised within different audit projects. These should be aligned to projects. Risks to be accessible throughout the application and able to be re-used.		
FR9	<b>Controls library</b>	The solution should provide a library of all Controls raised within different audit projects. Enable Controls to be linked/referenced to any audit. Controls to be accessible throughout the application and able to be re-used.		
FR10	<b>Audit Procedures Library</b>	The solution should provide a library of all audit procedures raised within different audit projects. Enable audit procedures to be linked/referenced to any audit. Audit Procedures to be accessible throughout the application and able to be re-used.		
FR11	<b>Root Causes Analysis Library</b>	The solution should provide a library of all Root Causes Analysis raised within different audit projects. Root Causes Analysis to be linked/referenced to any audit. Root Causes Analysis to be accessible throughout the application and able to be re-used.		
FR12	<b>Audit Issues Library/Findings log</b>	The solution should provide a library of all Audit Issues raised within different audit projects. Enable Audit Issues to be linked/referenced to any audit. Audit Issues to be		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		accessible throughout the application and able to be re-used.		
FR13	<b>Provide system templates for Internal Audit</b>	The solution should provide standardised templates. The templates must be accessible to all authorised system users. These templates include, but not limited to: Opening meeting agenda, Engagement letters, Deliverables list, Query sheet, Process narratives, Risk and control matrix, Working papers, Reports (Draft and Final), Checklist, End of audit reviews (performance assessments), Clients satisfaction survey (at least a trigger to generate the survey for sending out to client if this can't be done directly on the system), The solution must have the ability to populate the templates onto the audit file.		
FR14	<b>Define sampling methods</b>	The solution must allow users to incorporate the defined sampling methods as per methodology and be linked to Computer-Assisted Audit Techniques (CAAT) results/user requirements e.g. selection of high/low premium transaction.		
FR15	<b>Engagement (Audit/ project file) Customisation</b>	The solution should enable the users to design / tailor the engagement file according to the type of engagement and applicability of audit process steps.		
FR16	<b>Risk and Control Matrix (RACM)</b>	The solution must be able to generate risks and controls matrix based on the audit libraries.		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		The solution must be able to auto populate RACM after documentation of narratives.		
		The solution must be able to generate risks and controls matrix tailored for client sign-off (exclusion of audit procedures). The solution should have a functionality of electronic sign-off of the RACM by the client (internal and external)		
FR17	<b>Link risks, controls to work performed</b>	<p>The solution should cross reference risks, controls to work performed results (working paper and sub working paper) on Planning, Field Work and Completion.</p> <p>The solution should give users the ability to cross reference risks on the narratives to the RACM and Working paper. The findings raised on the Working papers should be cross referenced to the finding section.</p>		
FR18	<b>Working Papers Creation</b>	The solution should enable users to auto-generate working papers from the templates in the audit library/ audit program on the RACM		
FR19	<b>Working Papers Completion</b>	<p>Working Paper should provide for "Prepared / completed status" within the software by the Preparer and be locked for editing by anyone except the preparer and the reviewer.</p> <p>Solution should enable user to mark off working papers to "Reviewed" status only when it is in the "Prepared/ Completed" status.</p>		



REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
FR20	<b>Working Papers Review and Sign-off</b>	Post review and “signed off status” by the reviewer the working paper should be locked for editing until unlocked by the Reviewer.		
FR21	<b>Provide facility for reviewing notes</b>	Users must be able to raise review/coaching notes linked to any document within the project and link to the specific working papers		
		The solution should enable the reviewer to make comments and make provision for the preparer to address the comments. The solution should enable the reviewer to close-off the review notes.		
		The solution should enable the reviewer to be able to track review notes that have been signed off and/or still outstanding.		
FR22	<b>Findings</b>	The solution must be able to link findings and review notes to working papers. It must also have the ability to link risk, walkthrough and working papers.		
		The solution should enable the auditor to raise findings at any stage of the audit including planning.		
		Audit queries should be raised and linked to the Working paper concerned. The raised queries should be used to populate the query sheet to be send to the client. The raised query should be promoted to an audit issue if not resolved,		
		The solution should provide for the Reported and Non-Reported issues and enable user to select when generating		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		reports. Issues not Reported should include the reason for not reporting.		
		The solution must be able to incorporate management comments into the audit findings raised, using " <b>automated workflow management: receive feedback as detailed in FRIQ3</b> "		
FR23	<b>Auto Generate audit reports</b>	The solution should auto-populate an audit report based on the findings raised on the project file.		
FR24	<b>Provide summary reports</b>	Provide overall summary of results on previous audits.		
FR25	<b>Dashboard reporting</b>	Provide real-time reporting on previous work, current work and planned work based on the schedule (see FRIQ2). This can also be represented in dashboard form. This should include real-time status on planned audits, current audits and upcoming reviews.		
		Dashboard on audits should also include the following: <ul style="list-style-type: none"> <li>- Summary at an audit level by categories</li> <li>- Summary at an audit level by categories</li> <li>- Summary based on the consolidated audits of similar nature etc. agent company findings themes</li> <li>- Tracking of projects including:               <ul style="list-style-type: none"> <li>o Overall status</li> <li>o Team members</li> <li>o Time reporting</li> </ul> </li> </ul>		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		<ul style="list-style-type: none"> <li>Allocated hours</li> </ul> <p>The solution should allow for customisation of the dashboard based on user requirements</p>		
FR26	<b>Provide audit follow-ups based on previous audit findings</b>	The solution should be able to send follow-up alerts (internal and external) on previously reported audit findings as they become due.		
		The solution should enable auditees to access and capture the actions taken by themselves for findings addressed to them.		
		The solution should allow the auditor to assess if the findings are resolved, partially resolved or not resolved and should also be able to link to the responses received from Quality Assurance (QA) or the stakeholders who were responsible for the management action plan.		
		The solution should enable auditors to generate reports of open, resolved and overdue findings		
		Feedback on follow-up items should be automatically incorporated into the working paper where the task was created		
FR26	<b>Link previous audit reviews to current reviews</b>	The solution should also be able to roll-forward previous audit reviews and link to the current reviews including:		
		-auto generate previously documented planning procedures (process narratives, Risk and Control Matrix (RACM), auto		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		populate applicable working paper templates (roll-forwarded)		
		-the applicable findings and the management action plan to current reviews.		
<b>FR27</b>	<b>Quality Control</b>	The solution should support internal audit's compliance to the quality assurance and improvement programme not limited to the following:		
		The solution must be able to check if all planning documents are attached and alert user about outstanding documents when trying to sign off planning section		
		The solution should be able to do reconciliation between the original testing procedures on the RACM and final audit procedures on the working paper to make sure that designed audit procedures have been executed as planned		
		The solution must check that all working papers are signed off and alert the user about the working paper that is not signed off		
		The solution must check that all sections in a report are completed		
		The solution should check that all audit/ project file required steps/ tasks have been actioned and raise alerts for outstanding tasks		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		The solution should enable users to generate an engagement/ audit file report to check that all quality control procedures have been addressed on the file		
		The solution should cater for automatic archiving of audit / project file within a set duration (based on the methodology) after the report issue date.  The solution should send alerts and reminders to the users of the archiving date.		
		The solution should enable archiving of the file and locked for editing once all quality control procedures are completed		
<b>FR28</b>	<b>Mobility</b>	Users must be able to access the solution from anywhere using any appropriate mobile device such as iPad, tablet, mobile phone, etc.		
<b>FR29</b>	<b>Compatibility</b>	The solution must be compatible with emerging technologies such as Optical Character Recognition (OCR), Artificial Intelligence (AI), Robotics Process Automation (RPA). (This is for future enhancements purposes)		
<b>FR30</b>	<b>Integration into internal and external systems</b>	The solution must be able to interface or work with the existing data analytics tools in use such as Microsoft Power BI, ACL.		
		The solution must also be able to work with internal and external systems such as Risk Management Tool, and other Microsoft Office tools such as SharePoint Online for the		

REF	REQUIREMENT	REQUIREMENT DESCRIPTION	Indicate requirements availability (Response Codes: F, M, D, N/A)	Provide details of how your solution satisfy the user requirements
		efficient flow and documentation of audit results from data analysis and other audit procedures.		
<b>FR31</b>	<b>Cater for different data types</b>	<p>The solution should be able to read and convert files into preferred format for use.</p> <p>NB: Data is received in different formats (e.g. .PDF, .txt, .CSV), the solution should be able to read these without any limitations on size. The information should be convertible to Microsoft Excel and Word, .PDF, or any other generally used file format.</p>		

## 4. Part 4 - Financial Proposal

- 1 Bidders are required to provide a detailed and comprehensive price proposal i.e. all costs associated the bidder's proposal must be clearly specified and included in the Total Bid Price.
- 2 All prices must be VAT exclusive and must be quoted in South African Rand (ZAR).
- 3

Is the proposed bid price linked to the exchange rate?	Yes	No
<p><i>If yes, the bidder must indicate CLEARLY which portion of the bid price is linked to the exchange rate:</i></p>		

4

Payments will be linked to specified deliverables after such deliverables have been approved by Sasria.	Comply	Not Comply

5

<p>Sasria reserves the right to consider the guidelines on consultancy rates as set out in the <b>National Treasury Instruction 03 of 2017/2018: Cost Containment Measures</b>, where relevant.</p> <p>The bidder must indicate if their proposed rates are in line with the provisions of the referenced National Treasury Instruction: Cost Containment Measures.</p>	Comply	Not Comply
Substantiate / Comments		

## 6 PRICING MODEL

### 6.1 Implementation Costs

Activity/Deliverable	Resource(s)	Rate per Hour	Number of hours	Total Cost (VAT Excl.)
Planning and Analysis				
<b>Sub-Total (VAT Excl.)</b>				
Customisation/Configuration				
<b>Sub-Total (VAT Excl.)</b>				
Testing				
<b>Sub-Total (VAT Excl.)</b>				
Integration				

<b>Sub-Total (VAT Excl.)</b>				
Project Management				
Go-Live support				
Other Costs (if applicable)				
Disbursements				
<b>Sub-Total (VAT Excl.)</b>				
<b>Sub-Total (6.1) (VAT Excl.)</b>				

## 6.2 Software Costs

Description		Type of user	Number of users	Unit price	Total Cost (VAT Excl.)	
Software License Renewal	Year 1	System Administrator	3			
		Highest level users	6			
		End-users	44			
	<b>Sub-Total (VAT EXCL)</b>					
	Year 2	System Administrator	3			
		Highest level users	6			
		End-users	44			
	<b>Sub-Total (VAT EXCL)</b>					
	Year 3	System Administrator	3			
		Highest level users	6			
		End-users	44			
	<b>Sub-Total (VAT EXCL)</b>					
<b>Sub-Total (6.2) (VAT EXCL)</b>						



### 6.3 Training Costs

Activity/Deliverable	Resource(s)	Rate per Hour	Number of hours	Total Cost (VAT Excl.)
<b>Training</b>				
System Administrators				
Highest level users and End users				
<b>Sub-Total (6.3) (VAT Excl.)</b>				

### 6.4 Post-Implementation Support

Sasria require system support and maintenance.

Activity/ Deliverable	Estimated Number of hours	Rate per hour	Monthly Fee (VAT Excl.)	Annual Cost (VAT Excl.)
Maintenance and support	Year 1	120		
	Year 2	120		
	Year 3	120		
<b>Sub-Total (6.4) (VAT Excl.)</b>				

### 6.5 Total Bid Price

Activity/ Deliverable	Amount
<b>Sub-Total (6.1) (VAT Excl.)</b>	
<b>Sub-Total (6.2) (VAT Excl.)</b>	
<b>Sub-Total (6.3) (VAT Excl.)</b>	
<b>Sub-Total (6.4) (VAT Excl.)</b>	
<b>Total Bid Price (VAT Excl.)</b>	

**Price Declaration Form**

Dear Sir,

Having read through and examined the requirements of this RFP No. **2020/13**, and its related conditions, we offer to supply, implement, maintain and support the **Internal Audit Solution** as outlined in scope of work, for the following total amount:

**R..... (Excluding VAT)**

**In words**

**R..... (Excluding VAT)**

We confirm that this price covers all activities associated with the scope of work, as called for in the RFP document. We confirm that Sasria will incur no additional costs whatsoever, over and above this amount in connection with the delivery of the required services.

We undertake to hold this offer open for acceptance for a period of 150 days from the date of submission of offers. We further undertake that upon final acceptance of our offer, we will commence the scope of work when required to do so by the Sasria.

We understand that you are not bound to accept the lowest or any offer, and that we must bear all costs which we have incurred in connection with preparing and submitting this bid.

We hereby undertake for the period during which this bid remains open for acceptance, not to divulge to any persons, other than the persons to whom the bid is submitted, any information relating to the submission of this bid or the details therein except where such is necessary for the submission of this bid.

**SIGNED** \_\_\_\_\_ **DATE** \_\_\_\_\_

(Print name of signatory) \_\_\_\_\_  
Designation \_\_\_\_\_

**FOR AND ON BEHALF OF:** COMPANY NAME \_\_\_\_\_  
Tel No \_\_\_\_\_  
Fax No \_\_\_\_\_  
Cell No \_\_\_\_\_

## **5. Part 5 - Qualification and Evaluation Criteria**

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### **5.1. Evaluation of proposals**

The purpose of the RFP is to obtain a complete set of salient information pertaining to the bidding parties. The proposals will accordingly be used to evaluate whether, at Sasria's discretion, an interested party qualifies to proceed to the next stage of this procurement process. All bidding parties will be advised in writing of Sasria's decision, which will be final. No correspondence will be entered into pertaining to the evaluation process, the decisions taken and reasons thereof.

### **5.2. Prequalifying Criteria**

In terms of Regulation 4 of the 2017 PPPFA Regulations, Sasria requires that bidders meet the following pre-qualification criteria:

- The bidder must have a minimum B-BBEE contributor status level of 4 or better.

Note: Sasria will only consider a bid if the bidder meets these pre-qualification criteria. Where a bidder fails to meet these pre-qualification criteria, the bid will be considered an unacceptable bid and will be disqualified from further evaluation. The bidder must have a valid B-BBEE verification document (Affidavit or Certificate) in order to be considered in this regard

### **5.3. Evaluation Criteria**

#### **5.3.1. Level 1 - Governance Verification**

The evaluation during this stage is to review bid responses for purposes of assessing compliance with RFP requirements, which requirements include the following:

- Proof of registration with CSD confirming tax compliance status as referenced in Part 2 above;
- Valid B-BBEE verification as referenced in Part 2 above;
- Duly completed Standard Bidding Documents and other requirements, in line with Part 6 of this RFP;
- Technical Proposal in line with the Technical Evaluation Criteria in Part 5 of this RFP document
- Financial/ Price Proposal in line with Part 4 of this RFP document

Note: Failure to comply with the requirements assessed in Level 1 (governance), may lead to disqualification of bids.

#### **5.3.2. Level 2 - Technical Evaluation**

The evaluation during this level is based on technical criteria (Functionality). The technical evaluation will be conducted in 3 phases, as follows:

### Phase 1: Mandatory Technical Requirements

All bid responses that do not meet the Mandatory Technical Requirements will be disqualified and will not be considered for further evaluation on the Other Technical Requirements. **The bidder must indicate its compliance / non-compliance to the mandatory requirements.** Mandatory Technical Requirements are as follows:

Mandatory Requirement		Comply	Not Comply
1	<p>The proposed solution must be an existing off-the-shelf audit management solution.</p> <p>The bidder must be accredited or licensed to supply, implement and support the proposed audit solution.</p> <p><b>The bidder must submit documentary proof from the product owner that the bidder is an accredited or licensed product supplier of the proposed audit application.</b></p>		

### Phase 2 – Other Technical Evaluation Criteria

Only bidders achieving a minimum score of 70 points will be evaluated further in the next phase. The bidder’s proposal should respond comprehensively to the technical evaluation criteria.

The evaluation during this level is based on technical criteria (Functionality). The technical evaluation will be conducted in phases, as follows:

Item	Criteria	Points
1	<p><b>The bidder’s proposed solution must meet the user requirements stipulated in this RFP document (Section 3.5).</b></p> <p>The bidder must provide a detailed and comprehensive proposal of the audit solution indicating how the proposed solution will meet/satisfy each user requirement.</p> <ul style="list-style-type: none"> <li>• &gt;90-100% (40 points)</li> <li>• 81-90% (32 points)</li> <li>• 70-80% (22 points)</li> <li>• Below 70% (10 points)</li> </ul>	40
2	<p><b>The bidder must provide the detailed project plan clarifying the implementation approach and specify the</b>Work breakdown structure, Milestones, Duration, Resource allocation to tasks <b>and</b> Project phases</p> <ul style="list-style-type: none"> <li>• Detailed and practical project plan including the breakdown of the work, the duration of the milestones and resources allocated (5 points)</li> <li>• Detailed and practical project plan with limited documentation of the breakdown of work, milestones and resources allocated (3 points)</li> </ul>	5

Item	Criteria	Points
	<ul style="list-style-type: none"> <li>• Partially completed project plan and limited documentation of the work and milestones (2 points)</li> <li>• No project plan completed (0 points)</li> </ul>	
3	<p><b>The experience of the <u>technical lead and Project Manager</u> that will be leading the project:</b></p> <p>The experience of the technical lead and Project Manager in implementation and support of any Internal Audit solution and the proposed solution.</p> <ul style="list-style-type: none"> <li>• ≥10 years for implementation of any internal audit software with minimum of 3 years for implementation of the proposed solution (5 points)</li> <li>• 5-9 years for implementation of any internal audit software with minimum of 2 years for implementation of the proposed solution (3 points)</li> <li>• ≤4 years for implementation of internal audit software with minimum of 1 year on for implementation of the proposed solution (1 points)</li> </ul> <p><b>The bidder must provide a comprehensive CV of the team leader and project manager</b></p>	5
4	<p><b>Reference Letters</b></p> <p>The bidder must provide relevant reference letters from clients <b><u>where the bidder has implemented the proposed off the shelf internal audit software</u></b>. Letters must be on the client's letterhead, signed and include a contactable telephone number. Reference letters should not be older than 3 years.</p> <ul style="list-style-type: none"> <li>• 3 reference letters (10 points)</li> <li>• 2 reference letters (6,67 points)</li> <li>• 1 reference letters (3,33points)</li> <li>• 0 reference letters (0 points)</li> </ul>	10
	<b>Total</b>	<b>60</b>

**Note: Bidders who score 42 points or more out of 60 points or more in this Phase 2 will be required to make a presentation of their proposal for further evaluation purposes.**

**Phase 3 –Solution Demo Service provider will be given notification 5 days in advance to prepare for demo**

<b>Item</b>	<b>Criteria</b>	<b>Points</b>
<b>1</b>	<p><b>Adherence to requirements</b></p> <p>The service provider must clearly demonstrate the proposed solution and the compliance to the deliverables and scope of the RFP as described in the detailed requirements. Scoring will be allocated as follows:</p> <ul style="list-style-type: none"> <li>• 91 – 100% / All of requirements met and exceeded (40 points)</li> <li>• 81 – 90% / Most of requirements met (32 points)</li> <li>• 71 – 80% / Some of requirements are not met (22 points)</li> <li>• Below 70% / Most of requirements not met (10 points)</li> </ul>	<b>40</b>
	<b>Total</b>	<b>40</b>

**Note: Bidders that achieved a minimum score of 70 points in technical evaluation (Level 2), will be considered for the next level (Level 3) of the evaluation process i.e. Price and BEE.**

**5.3.3. Level 3 – Preference Point System**

Bidders that achieved a minimum score of 70 points in (phase 2 + phase 3 points) will progress to this level (level 3) and will be evaluated in accordance with the preference point system. The following preference points system will be used for this tender: 80/20

<b>CRITERIA</b>	<b>POINTS</b>
Price	80
B-BBEE	20
<b>TOTAL</b>	<b>100 points</b>

## 6. Part 6 – Required Documents

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### STANDARD BIDDING DOCUMENTS

In addition to the Annexures listed below, the following documents must be completed, signed and submitted together with the bid response:

- Invitation to Bid (SBD 1);
- Declaration of Interest (SBD 4);
- Preference Points Claims Form in terms of the Preferential Procurement Regulations 2017 (SBD 6.1);
- Declaration of Bidder's Past SCM Practices (SBD 8); and
- Certificate of Independent Bid Determination (SBD 9).

Note: Failure to submit these documents may lead to disqualification of the bid.

## ANNEXURE A: NON-DISCLOSURE AGREEMENT

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### MEMORANDUM OF AGREEMENT

Entered into between:

**Sasria SOC Ltd**

A company duly incorporated under the laws of *Republic of South Africa*, having its main place of business at 36 Fricker Road, Illovo, Sandton Johannesburg, with registration number: 1979/000287/06

(Hereinafter referred to as “the Discloser”)

And

.....

A company duly incorporated under the laws of Republic of South Africa, having its main place of business at....., with registration number:.....

(Hereinafter referred to as “the Recipient”)



## PREAMBLE

**Whereas** the Discloser will disclose certain confidential information to the Recipient, for purposes

of \_\_\_\_\_  
\_\_\_\_\_;

**And whereas** the Recipient wishes to receive confidential information on the condition that the Recipient will not disclose the same to any third party or make use thereof in any manner except as set out below.

The Discloser and the Recipient hereby agree to the following:

### 1. Definitions

Unless the contrary is clearly indicated, the following words and/or phrases, when used in this Agreement, shall have the following meaning:

- **“Agreement”** shall mean this written document together with all written appendices, annexures, exhibits or amendments attached to it from time to time;
- **“Commencement Date”** shall mean the date of last signature of this agreement;
- **“Confidential Information”** shall mean all information which:
  - pertains to the Disclosing Purpose, disclosed, revealed or exchanged by the Discloser to the Recipient, and which pertains to, but is not limited to all intellectual property rights, all trade secrets, all agreements (whether in writing or not) which exist at the time of revealing the content thereof to the Recipient, the content of all possible future agreements which the Discloser intends to enter into with any other party, all knowledge obtained by way of research and development, irrespective of whether the aforementioned information that is revealed is applicable to technical, business or financial aspects of the Discloser; and/or
  - any information of whatever nature, which has been or may be submitted by the Discloser to the Recipient, whether in writing or in electronic form or pursuant to discussions between the Parties, or which can be obtained by examination, testing, visual inspection or analysis, including, without limitation, business or financial data, know-how, formulae, processes, specifications, sample reports, models, customer lists, computer software, inventions or ideas; and/or
  - Any dispute between the Parties resulting from this Agreement; and/or
  - Any fault or defect in any aspect of the business of the Discloser, irrespective

of whether the Discloser knows about such a fault or defect;

- “**Notice**” shall mean a written document;
- “**Parties**” shall mean both the Discloser (**Sasria SOC Ltd**) and the Recipient.
- “**Board**” shall mean Board of Directors of the Discloser.
- Obligations of the Recipient

The Recipient shall:

- use the confidential information disclosed to it solely for the purposes of

.....  
 .....  
 .....and for no other purpose whatsoever (“Disclosing Purpose”);

- treat and safeguard the Confidential Information as private and confidential;
- ensure proper and secure storage of all Confidential Information;
- not at any time without the prior written consent of the Discloser or another employee of the disclosure from which he received the information,
- disclose or reveal to any person or party either the fact that discussions or negotiations are taking, or have taken place between the Board, employee and another employee or the content of any such discussions or other facts relating to the Disclosing Purpose, except where required by law or any governmental, or regulatory body;
- not create the impression with or lead any third party to interpret or construe any
- condition contained in this Agreement, that this Agreement is an Agency Agreement and/or Partnership Agreement and/or a Joint Venture and/or any other similar arrangement;
- not allege that this Agreement grants it, either directly, or by implication, or by estoppel or otherwise a license under any patent or patent application, or that it is entitled to utilize the Confidential Information in any way contrary to the stipulations contained in this Agreement;
- on termination of this Agreement act with the Confidential Information in accordance with a Notice delivered to it by the Discloser and if no such Notice was delivered, the Recipient shall destroy the Confidential Information in a similar manner to which it would destroy information that it would consider to be its own Confidential Information.

- Obligations of the Discloser

Subject to clause 2, the Discloser shall:

- disclose to the Recipient, in writing any relevant information in their possession or under their care; and
- furnish the Recipient at least 7 (seven) calendar days prior to this Agreement being terminated, for whatever reason, with a Notice instructing the Recipient

about what it should do with the Confidential Information once the Agreement has been terminated.

- Exclusions

The provisions of **Clause 3** above will not apply to any Confidential Information which:

- is at the time of disclosure to the Recipient, within the public domain and could be obtained by any person with no more than reasonable diligence;
- come into the public domain and could be obtained after such disclosure, otherwise than by reason of a breach of any of the undertakings contained in this Agreement;
- is subsequently provided to the Recipient by a person who has not obtained such information from the Discloser, provided that, in any such case, such information was not obtained illegally or disclosed by any person in breach of any undertaking or duty as to confidentiality whether expressed or implied;
- is disclosed with the written approval of the Discloser;
- is or becomes available to a third party from the Discloser on an unrestricted basis;
- is obliged to be reproduced under an order of court or government agency of competent jurisdiction.

- Commencement

- This Agreement shall commence on the Commencement Date.

- Cancellation

- The Agreement shall not terminate automatically. Either party must be able to terminate on written notice to the other party once the Disclosing Purpose is completed. The obligations of confidentiality under this Agreement shall continue to apply after assignment or termination of this Agreement.

- The Parties further agree that either Party shall have the right at any time to give notice in writing to terminate this Agreement forthwith in the event of a material breach of any of the terms and conditions of the Agreement. If the breach in question is one which can effectively be remedied, the Parties shall endeavour to jointly try to remedy such breach, failing which, the Agreement shall be terminated.

- Interpretation

- The clause headings in this Agreement have been inserted for convenience only and will not be taken into consideration in the interpretation of this Agreement;

- Any reference in this Agreement to the singular includes the plural and *vice versa*;

- Any reference in this Agreement to natural persons includes legal persons and references to any gender include references to the other genders and *vice versa*.

- Dispute Resolution

- A dispute concerning or arising out of this Agreement exists once a party notifies the others in writing of the nature of the dispute and requires it to be

resolved under this clause. The parties must refer any dispute to be resolved by

-

- negotiation; failing which
- mediation; failing which
- arbitration
- Within ten (10) Business Days of notification, the parties must seek an amicable resolution to the dispute by referring it to designated and authorized representatives of each of the parties to negotiate and resolve it by the parties signing an agreement resolving it within fifteen (15) Business Days
- If negotiation fails, the parties must refer the dispute for resolution by mediation under the rules of the Arbitration Foundation of Southern Africa (or its successor or body nominated in writing by it in its stead)("AFSA").
- If mediation fails, the parties must refer the dispute within fifteen (15) Business Days for resolution by arbitration (including any appeal against the arbitrator's decision) by one arbitrator (appointed by agreement between the parties) as an expedited arbitration in Sandton under the then current rules for expedited arbitration of AFSA.
- If the parties cannot agree on any arbitrator within a period of ten Business Days after the referral, the arbitrator will be appointed by the Secretariat of AFSA.
- The periods for negotiation or mediation may be shortened or lengthened by written agreement between the parties.
- This clause will not preclude any party from access to an appropriate court of law for interim relief in respect of urgent matters by way of an interdict, or mandamus pending finalisation of this dispute resolution process, for which purpose the parties irrevocably submit to the jurisdiction of a division of the High Court of the Republic of South Africa.
- This clause is a separate, divisible agreement from the rest of this Agreement and must remain in effect even if the Agreement terminates, is nullified, or cancelled for any reason or cause.
- Domicilium and Notices

The Parties elect the following addresses as their respective *domicilium citandi et executandi*, at which all notices and other communications must be delivered for the purposes of this Agreement:

- Discloser:
- by hand at 36 Fricker Road, Illovo, Sandton, Johannesburg
- Marked for the attention of: .....  
by post at: P.O. Box 653367, Benmore, 2010
- Marked for the attention of .....
- by telefax at (011) 447 8624
- Marked for the attention of .....
- Recipient:
- by hand at .....
- Marked for the attention of.....

- by post to: \_\_\_\_\_  
Marked for the attention of: .....
- by telefax at .....Marked for the attention of:  
.....
- Any notice or communication required or permitted to be given in terms of this agreement shall only be valid and effective if it is in writing.
- Any notice addressed to either of the Parties and contained in a correctly addressed envelope and sent by registered post to it at its chosen address or delivered by hand at its chosen address to a responsible person on any day of the week between 09h00 and 16h00, excluding Saturdays, Sundays and South African public holidays, shall be deemed to have been received, unless the contrary is proved, if sent by registered post, on the 14<sup>th</sup> (fourteenth) calendar day after posting and, in the case of hand delivery, on the day of delivery.
- Any notice sent by telefax to either of the Parties at its telefax number shall be deemed, unless the contrary is proved, to have been received:
  - if it is transmitted on any day of the week between 09h00 and 16h00, excluding Saturdays, Sundays and South African public holidays, within 2 (two) hours of transmission;
  - if it is transmitted outside of these times, within 2 (two) hours of the commencement any day of the week between 09h00 and 16h00, excluding Saturdays, Sundays and South African public holidays, after it has been transmitted.
- Entire Agreement and Variations
- This Agreement constitutes the whole agreement between the Parties and supersedes all prior verbal or written agreements or understandings or representations by or between the Parties regarding the subject matter of this Agreement, and the Parties will not be entitled to rely, in any dispute regarding this Agreement, on any terms, conditions or representations not expressly contained in this Agreement.
- No variation of or addition to this Agreement will be of any force or effect unless reduced to writing and signed by or on behalf of the Parties.
- Neither party to this Agreement has given any warranty or made any representation to the other party, other than any warranty or representation which may be expressly set out in this Agreement.
- Data Security
- The Recipient shall, at all times, ensure compliance with any local and international laws, regulations, policies or codes that may be enacted from time to time and put in place and maintain sufficient measures, policies and systems to manage and secure against all forms of risk to any information that may be shared or accessed through a computer or any other form of electronic communication pursuant to the Agreement. For purposes of this clause **Error! R**

**reference source not found.,**

- “Information” shall mean, but not be limited to:
- all cyber related information, including data; a computer program; output of a computer program; a computer system; article; data message; a computer data storage medium; output of a computer program and output of data;

- Personal Information as defined in section 1 of the Protection of Personal Information Act No. 4 OF 2013 (“**POPIA**”) read with Section 1 of the Promotion of Access to Information Act No. 2 of 2000; and

1.1.1. Any other information that may be shared or accessed pursuant to the Agreement.

- The Recipient shall notify the Discloser in writing of any cybercrimes or any suspected cybercrimes in its knowledge and to report such crimes or suspected crimes to the relevant authorities in accordance with applicable laws, within 10 days of becoming aware of such crime or suspected crime.

- Protection of Personal Information

- For purposes of this clause 1 □ -

- the following terms shall bear meanings contemplated in Section 1 of the POPIA: consent; data subject; electronic communication; information officer; operator; person; personal information; processing; record; Regulator; responsible party; special information; as well as any terms derived from these terms.

- “**binding corporate rules**” means personal information processing policies, within a group of undertakings, which are adhered to by a responsible party or operator within that group of undertakings when transferring personal information to a responsible party or operator within that same group of undertakings in a foreign country; and “**group of undertakings**” means a controlling undertaking and its controlled undertakings.

- The Parties acknowledge and agree that, in relation to personal information that may be processed pursuant to the Agreement, the Discloser is the responsible party and the

- Recipient is the operator.

- The Recipient must process such personal information only with the knowledge or authorisation of the Discloser and treat personal information which comes to its knowledge as confidential and must not disclose it, unless so required by law.

- The Recipient must secure the integrity and confidentiality of personal information in its possession or under its control by taking appropriate, reasonable technical and organisational measures to prevent loss of, damage to or unauthorised destruction of personal information and unlawful access to or processing of personal information.

- In order to give effect to the obligations set out in this clause 1 □, the Recipient

must take reasonable measures to-

- identify all reasonably foreseeable internal and external risks to personal information in its possession or under its control;
- establish and maintain appropriate safeguards against the risks identified;
- regularly verify that the safeguards are effectively implemented; and
- ensure that the safeguards are continually updated in response to new risks or deficiencies in previously implemented safeguards.
- The Recipient shall have due regard to generally accepted information security practices and procedures which may apply to it generally or be required in terms of specific industry or professional rules and regulations.
- The Recipient shall notify the Discloser immediately where there are reasonable grounds to believe that the personal information of a data subject has been accessed or acquired by any unauthorised person.
- The Recipient shall appoint an information officer and an appropriate number of deputy information officers as may be required by the POPIA, and must provide the Discloser with the details of such officers, whose responsibilities shall include-
  - the encouragement of compliance, by the Recipient, with the conditions for the lawful processing of personal information;
  - dealing with requests made to the Recipient pursuant to the POPIA;
  - working with the Regulator in relation to investigations conducted under the POPIA;
  - otherwise ensuring compliance by the Recipient with the provisions of the POPIA; and
  - as may be prescribed by the POPIA.
- The Recipient shall not transfer personal information about a data subject to a third party who is in a foreign country without Prior written consent of the Discloser. The Discloser will not grant such consent unless-
  - the third party who is the recipient of the information is subject to a law, binding corporate rules or binding agreement which provide an adequate level of protection that-
    - effectively upholds principles for reasonable processing of the information that are substantially similar to the conditions for the lawful processing of personal information relating to a data subject who is a natural person and, where applicable, a juristic person; and
    - includes provisions, that are substantially similar to this section, relating to the further transfer of personal information from the recipient to third parties who are in a foreign country;
    - the data subject consents to the transfer;
    - the transfer is necessary for the performance of a contract between the data subject and the responsible party, or for the implementation of pre-contractual measures taken in response to the data subject's request;
    - the transfer is necessary for the conclusion or performance of a contract concluded in the interest of the data subject between the responsible party and a

third party; or

- the transfer is for the benefit of the data subject, and-
- it is not reasonably practicable to obtain the consent of the data subject to that transfer; and
- if it were reasonably practicable to obtain such consent, the data subject would be likely to give it.
- The Recipient shall process personal information of data subjects in accordance with the conditions for the lawful processing of personal information as contemplated in the POPIA, and shall at all times put sufficient measures in place to ensure compliance with the POPIA, including compliance with any compliance notices and information notices served on the Recipient under the POPIA.
- **Assignment, Cession and Delegation**  
Neither of the Parties shall be entitled to assign, cede, delegate or transfer any rights, obligations, share or interest acquired in terms of this Agreement, in whole or in part, to any other party or person without the prior written consent of the other, which consent shall not unreasonably be withheld or delayed.
- **Relaxation**  
No indulgence, leniency or extension of a right, which either of the Parties may have in terms of this Agreement, and which either party (“the grantor”) may grant or show to the other party, shall in any way prejudice the grantor, or preclude the grantor from exercising any of the rights that it has derived from this Agreement, or be construed as a waiver by the grantor of that right.
- **Waiver**  
No waiver on the part of either party to this Agreement of any rights arising from a breach of any provision of this Agreement will constitute a waiver of rights in respect of any subsequent breach of the same or any other provision.
- **Severability**  
In the event that any of the terms of this Agreement are found to be invalid, unlawful or unenforceable, such terms will be severable from the remaining terms, which will continue to be valid and enforceable.
- **Governing Law**  
The validity and interpretation of this Agreement will be governed by the laws of the Republic of South Africa.

## **SIGNATURES**

I, the undersigned, ..... , herewith confirms that my position within the Recipient is that of ..... and state that I am duly authorised to enter into this Agreement, which I herewith do, on this the .....day, of ....., for and on behalf of the Recipient.



I, the undersigned ....., herewith confirms that my position within the Discloser is that of Executive Manager: ..... and state that I am duly authorised to enter into this Agreement, which I herewith do, on this the \_\_\_\_ day, of ..... by signing this Agreement, for and on behalf of the Discloser.

\_\_\_\_\_

Signature for and on behalf of Discloser

\_\_\_\_\_

Signature for and on behalf of Recipient

## ANNEXURE B: ACCEPTANCE OF BID CONDITIONS AND BIDDER'S DETAILS

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RFP No: \_\_\_\_\_

Name of Bidder: \_\_\_\_\_

Authorised signatory: \_\_\_\_\_

Name of Authorised Signatory \_\_\_\_\_

Position of Authorised Signatory \_\_\_\_\_

By signing above the bidder hereby accept full responsibility for the proper execution and fulfilment of all obligations and conditions devolving on him/her under this RFP.

**[Note to the Bidder: The Bidder must complete all relevant information set out below.]**

### CENTRAL SUPPLIER DATABASE (CSD) INFORMATION

<b>Bidders are required to be registered on the Central Supplier Database (CSD) of National Treasury. Failure to submit the requested information may lead to disqualification. Bidders are therefore required to submit as part of this proposal both their CSD supplier number and CSD unique registration reference numbers below:</b>	
<b>Supplier Number</b>	
<b>Unique registration reference number</b>	

### BIDDING STRUCTURE

<b>Indicate the type of Bidding Structure by marking with an 'X':</b>	
<b>Individual Bidder</b>	
<b>Joint Venture/ Consortium</b>	
<b>Prime Contractor with Sub Contractors</b>	
<b>Other</b>	

### REQUIRED INFORMATION

<b>If Individual Bidder:</b>	
Name of Company	
Registration Number	
Vat registration Number	

<b>If Individual Bidder:</b>	
Contact Person	
Telephone Number	
Cell phone Number	
Fax Number	
Email address	
Postal Address	
Physical Address	

<b>If Joint Venture or Consortium, indicate the following for each partner:</b>	
<b>Partner 1</b>	
Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cell phone Number	
Fax Number	
Email address	
Postal Address	
Physical Address	
Scope of work and the value as a % of the total value of the contract	
<b>Partner 2</b>	
Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cell phone Number	
Fax Number	
Email address	
Postal Address	

<b>If Joint Venture or Consortium, indicate the following for each partner:</b>	
Physical Address	
Scope of work and the value as a % of the total value of the contract	

<b>If bidder is a Prime Contractor using Sub-contractors, indicate the following:</b>	
<b>Prime Contractor</b>	
Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cell phone Number	
Fax Number	
Email address	
Postal Address	
Physical Address	
<b>Sub-contractors</b>	
Name of Company	
Company Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cell phone Number	
Fax Number	
Email address	
Postal Address	
Physical Address	
Subcontracted work as a % of the total value of the contract	



## ANNEXURE D: BIDDER'S EXPERIENCE AND PROPOSED PROJECT TEAM

*[Note: the bidder must complete the information set out below. If the bidder requires more space than is provided below it must prepare a document in substantially the same format setting out all the information referred to below and return it with Returnable Schedule 3.]*

**Table (a): Details of the bidder's current and past experience in providing Internal Audit Solution services within the financial services industry:**

Client' Name	Project description	Project Cost	Project period (Start and End Dates)	Description of service performed and extent of Bidder's responsibilities	Name, title and telephone contact of client

**Table (b): Details of the key personnel of the bidders' proposed team:**

Name	Position	Role / Duties in this Project	Relevant Project Experience	
			Project description, Client, Project period, software implemented	Project Cost